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ABSTRACT

Guidelines, theory, examples, and references pertaining to self-assessment for colleges and universities are presented in this publication from the University of the State of New York. Guidelines as drafted by the Regents' Project on Self-Assessment for Colleges and Universities include a list of conditions for self-assessment, the procedural steps, and a summary of criteria for the assessment process. Models of self-assessment programs undertaken at 15 New York colleges are described. The models illustrate various aspects of self-assessment including: faculty evaluation, cost of self-assessment, the necessity of involving both administrative and teaching staff, and strategies to encourage staff participation. Brief essays on the rationales for self-assessment by Harold Orlans (On Institutional Self-Evaluation), Marvin W. Peterson (Self-Assessment: Balancing Perspectives for Improved Institutional Viability), Ernest G. Palola (Program Effectiveness: Beyond Cost-Benefit Analysis), Gordon W. Blackwell (The Scope of Self-Assessment in Institutional Planning: A Case Study), and Bruce Dearing (Self-Assessment for Growth) are included. An annotated selective bibliography is included as well as a list of the participants in the Regent's Project on Self-Assessment for Colleges and Universities. (SF)

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ED179124

A Handbook for Self-Assessment

U.S. DEPARTMENT OF HEALTH,
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**SELF-ASSESSMENT FOR
COLLEGES AND UNIVERSITIES**

The University of the State of New York

Office of Self-Assessment
for Colleges and Universities

Albany, New York 12230

HE OH 607

THE UNIVERSITY OF THE STATE OF NEW YORK

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1981	J. Edward Meyer, B.A., LL.B.	Chappaqua
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President of The University
Gordon M. Ambach

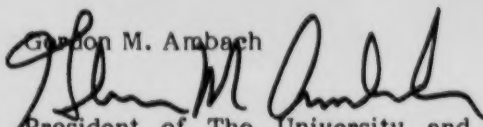
FOREWORD

This project has demonstrated that self-assessment is basic to the Department's goal of improving the quality of higher education in New York State. The activities of the project all aim at action to help campuses cope with recent changes in education. Rising costs, declining enrollments, budgetary cutbacks, public demands for accountability, students' demands for new programs, unmanageable tenuring, sporadic planning, competition from industrial programs and other institutions—singly or in combination these forces have in some way jeopardized the development of nearly every college or university, and sometimes threatened its existence.

Institutional development requires sustained review of current and planned practices. How much better to undertake this process by internal action rather than to react to externally imposed pressures. As an institution reviews, changes, and enhances its activities, improvement comes from within and is therefore more likely to be thorough, effective and lasting. Such improvement in no way relieves the Department of its responsibility to monitor and to maintain standards, though the self-knowledge of the institution also contributes to the Department's effectiveness in completing its task.

The activities of Self-Assessment for Colleges and Universities all aim at action on the campuses. What research the colleges do is oriented, finally, towards action in their own behalf. The means of interaction between the Department and an institution are thereby augmented: It is in the best interest of the Department to encourage autonomy in assessment while carrying out its mandated task of evaluation in support of quality. I invite the higher institutions of New York to use this Handbook's guides and examples as they plan for quality and strength in their programs.

Gordon M. Ambach



President of The University and
Commissioner of Education.

CONTENTS

Foreword	iii
Exhibits	vi
The Regents' Project on Self-Assessment for Colleges and Universities	1
Guidelines for Self-Assessment	4
The Models of Self-Assessment	11
A Locator of Activities	12
Acronyms and Abbreviations Used	14
Wagner College Faculty Committee Restructuring; Student Life	15
Marist College Assessment of Faculty Evaluation Procedures	21
SUNY College at Oswego Faculty Development and Program Review	25
Corning Community College Administrative Functions; Long-Range Planning	33
New York City Community College Planning and Implementing Program Assessment	36
SUNY A&T at Delhi Academic Program Review; Review of Student Services	43
SUNY College at Geneseo Student Attitudinal Surveys; Curricular Revision	48
New College of Hofstra University Contract Learning at the Graduate Level	51
Polytechnic Institute of New York Graduate Study of Engineering for Industrial Needs	59
John Jay College of Criminal Justice An Appraisal of Criminal Justice Education	63

Contents (cont'd)

Marymount Manhattan College A Study of Part-Time Students		68
SUNY at Binghamton Conditions for Learning		74
SUNY College at Plattsburgh Student Profiles by Department to Measure Outcomes		77
Brooklyn College of CUNY Liberal Arts for the World of Work		83
Clarkson College of Technology The Value of Graduates' Curricula for Their Careers		87
On Institutional Self-Evaluation	Harold Orlans	91
Self-Assessment: Balancing Perspectives For Improved Institutional Viability	Marvin W. Peterson	94
Program Effectiveness: Beyond Cost-Benefit Analysis	Ernest G. Palola	97
The Scope of Self-Assessment in Institutional Planning: A Case Study	Gordon W. Blackwell	100
Self-Assessment for Growth	Bruce Dearing	103
A Selected Bibliography for Self-Assessment		106
Participants in the Regents' Project on Self-Assessment for College and Universities.		118

The logo for this project was designed by Kimberly Smith a student at Rochester Institute of Technology.



EXHIBITS

State University of New York College at Oswego

1. Summary of Goals for the Self-Assessment Project During the 1977-78 Academic Year 30
2. Planning Model for the Improvement of Instruction 32

New York City Community College

3. Program Review Measures 41

New College of Hofstra University

4. New College's Timetables for Self-Assessment 57
5. Budget: An Outline of Direct Costs (1976-77/1977-78) 58
6. Human Costs: 1976-77/1977-78 58

Polytechnic Institute of New York

7. School of Graduate Studies Questionnaire: How Relevant is Graduate Engineering Education to Industrial Needs? 61

Marymount Manhattan College

8. Costs of Assessing Part-Time Student's Experience at Marymount Manhattan College 73

State University of New York College at Plattsburgh

9. Report of the Outcomes Workshop 81

Clarkson College of Technology

10. Clarkson's Budget for Self-Assessment 90

THE REGENTS' PROJECT ON SELF-ASSESSMENT FOR COLLEGES AND UNIVERSITIES

This book is about what happens when people examine their professional accomplishments in earnest. It contains guidelines, theory, examples and references for those who are already monitoring their academic operations and for those who want to know how to begin. The ideas and practices here have been developed in New York by the Regents' Task Force on Self-Assessment for Colleges and Universities. Colleges within the State and beyond are invited to adapt one or several of these systems which Task Force members have tried at their own institutions.

The Handbook has several uses. Its examples present actual attempts to begin self-assessment in the context of the Project's general Guidelines for Self-Assessment. Most colleges will probably find the Guidelines' core of procedures necessary as they examine any area of their academic operations. Since the Handbook's models draw on the fundamentals of self-assessment, their examples should be adaptable to other problems. For instance, one president's agenda included faculty evaluation, but he felt he needed to review the functions of administrative offices first. The necessity of involving both administrative and teaching staff, and the success of the administrative review, encouraged faculty to commence self-assessment. The examples illustrate such matters as strategies which were used to involve reluctant staff in self-assessment, or ways in which users have moved from findings to action. The Handbook contains information on the costs of self-assessment. After the models, the Handbook presents brief essays on the rationales for self-assessment which the user should find helpful for introducing such ideas on campus. Finally, it also offers sources for further reference in its Selected Bibliography, which includes annotations of those items which were found to be of special interest to the work of the project.

In order to understand what is meant by self-assessment, it helps to know the origin of the Project. When the New York State Education Department sought ways to improve its accreditation methods, it proposed to help colleges develop systems of self-evaluation for their own use. Not only would such reviews for planning purposes further the goal of educational quality, but their result of setting institutional priorities would increase the effectiveness of program and institutional review. Thus self-assessment is a continuous, objective system of monitoring educational quality which a college uses to plan the improvement of its programs and the operations which support them.

A grant from The Fund for the Improvement of Postsecondary Education in 1976 enabled the Department's Bureau of College Evaluation to add this Project to its regular reviews and registration of academic programs. An August announcement attracted 46 colleges to a meeting that month, and 31 submitted proposals for self-assessment by September 15. Such a strong response at the quiet time of the academic year suggested a significant need. Students' search for subjects which were not previously available on traditional campuses, demands for accountability from employers and others, falling enrollments coupled with inflation of costs — these and many more forces compel colleges to evaluate themselves.

In October, the Project's National Advisory Council could select only nine-projects to receive up to \$4,000 each. In order to provide a range of models, they included principal areas of academic activity, such as curriculum, faculty and staff, students, and graduates. Their selection was further restricted by the need for these pilots to represent all sectors of higher education — large or small, public or independent, general or specialized, etc. Since so many of the proposals were strong, twelve more colleges were invited to join the Project as associates without funding, and six accepted.

The representatives from these fifteen colleges comprise the Task Force on Self-Assessment which met in November of 1976 to organize, in January and May of 1977 to plan and refine their pilot projects, and in the fall of 1977 to invite other colleges to undertake self-assessment. From May through October, each project received mid-point review by a consultant to the project or a National Advisory Council member, and sometimes by a Departmental Liaison Staff member. In January of 1978, the Task Force planned for the conclusion of the funded portion of the Project, and in April they offered regional workshops for all interested colleges. The 241 people who attended these workshops represented 40% (n=98) of New York's colleges and universities. Now that the Task Force has reported its fifteen models — at whatever stage they were able to reach in less than two years — its members have learned much about the dynamics of academic evaluation and change, as well as about instruments and techniques of self-assessment.

Details of how self-assessment systems were established on the Task Force campuses were drawn from their final reports. The Task Force began with the Department's draft of guidelines for self-assessment which had been proposed to the Fund for testing. These guidelines had evolved from a combination of the Bureau of College Evaluation's experience in accreditation and the idea of self-assessment, which was conceived by Charles W. Meinert and Donald Tritschler in 1971. After several proposals which developed from informal work with several New York colleges, Sherry Penney, another staff member in the Bureau of College Evaluation, finally wrote the proposal which won the grant from the Fund and made the full-scale Project possible. Shortly afterward, Penney became Assistant Provost at Yale University, and Donald Tritschler undertook the directorship as the work commenced.

Meinert and Penney had developed the guidelines and set objectives for the Project which the Task Force has largely accomplished:

- 1) Establish a conviction of need for continuous self-assessment on campus.
- 2) Develop instruments and techniques of self-assessment.
- 3) Train academic staff to self-assessment.
- 4) Use the findings of self-assessment for decision-making and action.

The Handbook presents as models the efforts to reach these objectives and the insights and action which resulted from them.

The Project Assistant, Leslie Ann Bechtel, designed the specifications for the final reports of the individual projects which provided the information for the models. She also contributed basic ideas to the Project and edited the Guidelines

through their trial and evaluation on Task Force campuses. When Bechtel left the Project to become Assistant to the President of Skidmore College, Florence K. Howe completed the writing of the models. Pam M. Baxter selected and annotated the Bibliography.

Others have contributed significantly to this Project, which by nature depends on the involvement of so many people. Barbara Meinert provided continuity of planning for the project's first events while its staff was assembled. Nancy Fisher's readiness as the first Project Secretary to meet excessive, "catch-up" demands through February 1977 saved the Project's start from being too late to mesh with the academic year. Those staff of the Bureau of College Evaluation who worked on the project as liaison between the Department and the Task Force colleges gave generously of their time for consultative visits to the colleges and of their imaginative recommendations for the planning of meetings and other activities of the Project. This liaison staff, the Department's Advisory Committee, the Project's National Advisory Council, and the Task Force are listed at the end of the Handbook.

From early in 1977 until July 1, 1978, Mrs. Patricia A. Weingartner kept all the records, made all of the arrangements and typed the volumes of correspondence, transcripts of meetings, speeches and other communications on which the Project was totally dependent. Since then, Florence K. Howe and Carlotta Goettel have seen to the daily details of the Project. Rachel S. Smith planned the final conference, "Program Review on the Campus." Susan Smith typed the "camera-ready" text of this Handbook.

Throughout the Project, the National Advisory Council's sustained interest and the Departmental Liaison Staff's suggestions have been an invaluable guide to the Director. The planning and completion of this Handbook, which has resulted from the work of so many, was the responsibility of Donald Tritschler.

GUIDELINES FOR SELF-ASSESSMENT

These Guidelines propose principles, methods and examples of the kinds of questions colleges need to consider as they design their own evaluation systems. They have been used as a checklist by a 15-college Task Force on Self-Assessment in New York State during a year of building and testing the colleges' models of programmatic review. The present draft incorporates that experience in a list of steps in self-assessment, recommended procedures, a summary of the essential criteria for effective self-assessment systems, and examples of the kinds of questions reviewers should ask themselves, for instance, if their concern is academic program review. The groundwork for self-assessment of academic or other kinds of programs must be among the earliest activities undertaken.

Conditions for Self-Assessment

1. Support for self-assessment should come from the top, namely, the office of the president and her or his academic staff. This support permits the necessary commitment of both financial and personnel resources to legitimize and sustain the activity, and it fosters the process of change that should result from sound assessment.
2. Responsibility for initiating, directing and monitoring self-assessment should be clearly fixed. One or more persons should be assigned to the task. If assessment involves institution-wide activities, the designated person should report to the chief executive officer; if the assessment is limited to academic programs, the director should report to the chief academic officer or to the department which requests such services.
3. Assessment should be a continuing process which helps to refine programs already in operation; it also identifies needs to plan for new programs and the bases for their design. Principal areas of concern should be monitored at

least through annual gathering and analysis of selected information; in-depth or large-scale evaluations of major programs should occur at least every five years.

4. Institutions should provide adequate and regular budgetary support for assessment activities. If resources are limited, consideration should be given to reallocation from other areas. Continuation of such financial support depends on proof of the cost-effectiveness of the study.

Steps in Self-Assessment

1. A clear definition of the goals of the assessment, as distinct from the goals of the specific area being assessed, should be made. The main focus of assessment should be on evaluation of educational quality as measured by goal-oriented outcomes.
2. All persons who are affected and interested in the programs under review should be made continually aware of developments and often involved in the assessment process. Responsibility for setting priorities, designing the assessment, collecting and analyzing data, and evaluating and using them should be assigned to appropriately skilled persons.
3. A determination of how well the goals of the specific area assessed are being met should be made. The appropriate instruments and techniques must be selected and administered to the constituencies who are involved (e.g., administrators, faculty, students, graduates, employers and outside groups).
4. The process of collecting data should be established in such a way that it can continue beyond the first self-assessment as a routine function of the master-planning and decision-making process.
5. Analysis of data, reporting of findings, and recommendations for action should be monitored carefully by the person(s) responsible for the self-

assessment. Periodic follow-up of recommendations is essential to determine if any actual results have occurred.

6. Essential to effective self-assessment is the periodic evaluation of the system itself. The system should be cost-effective in both dollars and human resources spent to provide vital information for decision-making.

Recommended Procedures

1. An inventory of all self-assessment activities on your campus to date will - provide a base of information from which to judge the effectiveness of your planned self-assessment, as well as coordinate your activities.
 - What has resulted from past self-assessments?
 - What is your institution's position on self-assessment?
 - What information and talents are already available?
2. A log or a journal of activities, in whatever form seems most comfortable, can develop into a portfolio of results, a persuasive record to encourage involvement of other groups in self-assessment.
3. The process should include an assessment of the costs and other resources in relation to the accomplishments expected. The cost-effectiveness of the study must be continuously checked.
4. Data should be checked for validity by their users and reviewed by external evaluators. The use of an on-site visit by the evaluator might also provide an opportunity to discuss the redirection of institutional energies where needed.
5. People involved in the process should be trained as evaluators themselves. Their interest will be encouraged by issues and results expressed in clear, understandable language.
6. A self-assessment study will be kept alive by a support system of continuous current information which can be provided in a variety of ways, such as:
 - a. using outside consultants to work with affected groups,

- b. scheduling of on-campus workshops,
- c. a resource center of current literature,
- d. the publicizing of results of the self-assessment process on campus.

Summary of Criteria for Self-Assessment

Institutional Commitment, both from the top administration and among key faculty, and Broad Involvement among faculty and students, so as to give all parties ownership of the effort.

Objectivity of findings which is supported by broad ownership and judicious use of local and external consultation.

Productivity, in that change results where it is indicated and follow-up occurs when it is needed. Efficiency, both in the use of institutional time, whether gathering data (must be to the point and used) or analyzing it (delegated to those best qualified), and in the use of human and dollar costs.

A Continuous System which maintains a steady accumulation of information for review and provides for special evaluations which are linked to institutional planning and budgeting.

Self-adjustment of the system to enhance self-assessment and ensure efficient use of institutional time.

* * *

Self-Assessment of Individual Programs

The following questions should be reviewed as general concerns to be elaborated by specific questions germane to the particular program under review. Though these examples apply to academic program review, they represent the kinds of questions which may also be translated and used to assess other areas, such as staff effectiveness, student services, social services and other endeavors of the institution.

1. Current Programs. Program objectives need to be clearly stated in measurable ways, so that the degree of their achievement can be assessed. In order to determine if objectives are being met, evaluations need to be made in the following areas:
 - a. Faculty: What are the qualifications of each faculty member for her or his professional assignment by the college, and to what extent is each faculty member contributing to the institution's goals?
 - 1) To what extent are faculty trained in the fields in which they are currently teaching? Does the faculty in each special area represent a variety of backgrounds which is not too diffuse, nor too narrow for the program offered?
 - 2) To what extent do faculty show evidence of professional activity and performance—i.e., research and publications?
 - 3) What process is used to evaluate teaching?
 - 4) Are there procedures for student evaluation of faculty and courses and for peer evaluation of faculty? What use is made of the results?
 - 5) What techniques are used to improve teaching? How often are course syllabi and reading lists updated and evaluated? What changes have resulted?
 - 6) What kind of institutional support is given to faculty development through research grants, sabbaticals, and other opportunities to broaden and strengthen professional knowledge and skills? What accomplishments can be related to these opportunities?
 - 7) To what extent are faculty involved in defining program and course objectives?
 - 8) To what extent are faculty involved in student advisement, and does the evidence show a concern for student development?
 - b. Curricular and other academic programs: How are the breadth, depth and applicability of the curricula determined?
 - 1) To what extent do course offerings support the program objectives?
 - 2) To what extent does the curriculum reflect the needs of the student clientele? How are these needs determined? What do graduates report?
 - 3) What is the procedure for curricular planning? What role is played by the faculty? By students? By interests outside the institution?
 - 4) What innovations have been made in the curriculum in the last five years?

- 5) What curricula have been discontinued and why? Which, if any, are endangered? Why?
 - 6) How are these questions applied to other academic endeavors, such as research and social involvement?
- c. Resources and Facilities: Are the classrooms, laboratories, audio-visual, computer and library facilities sufficient to carry on the prescribed programs?
- 1) How are facilities related to programs?
 - 2) What problems are evident in terms of classroom or laboratory facilities?
 - 3) What are the long-range plans for use and development of the facilities?
- d. Students: To what extent are admissions standards defined so that only those students who have a reasonable chance of completing a program successfully are admitted to the various programs?
- 1) What kinds of learning situations are provided for any students who might have alternate learning styles?
 - 2) What process or procedure is used to evaluate student outcomes?
 - 3) Are the results of standardized tests, certifying and licensing exams used? If so, how?
 - 4) What use is made of follow-up studies, especially employment statistics and further education?
 - 5) What is the record on numbers completing degrees? How does attrition compare with that in similar programs within and outside your institution? What are the reasons for attrition?
- e. Administration: Are institutional policies and goals clear and known throughout the institution?
- 1) What are the established procedures for making changes in institutional policies?
 - 2) What policies are currently under study or need revision?
 - 3) What is the administrator's role in seeing that responsibility for the assessment of programs is clearly fixed and carried out?
 - 4) What results are evident from the findings of evaluation and planning decisions?

2. New programs. While many of the preceding concerns should be built into new program proposals, the following points should especially be observed:
 - a. What mechanisms exist to assure that all new program proposals are reviewed carefully for both quality and institutional need? Have the objectives of new programs been clearly defined? What kinds of studies are undertaken to determine the societal need for new programs?
 - b. What is the relationship between the programs at the institution and others in the same geographical area? What use is made of inter-institutional cooperation and/or consortia?
 - c. What commitment of resources has the institution made to the new program to ensure the quality of the program? Will the costs be justified by the benefits expected of the new program?
 - d. What evaluative procedure will be used to determine if the program should be continued? Modified?
3. Follow-up on evaluation of each old and new program.
 - a. How are the results of the evaluation and assessment made known to the major units within the institution?
 - b. What evidence is there of attempts to modify and/or improve programs?
 - c. How are the final decisions made to act on the assessment?

THE MODELS OF SELF-ASSESSMENT

Task Force members selected and tested those self-assessment guidelines which appeared useful as they developed the following models. They also discovered some special procedures which suited the people on their own campuses or met the demands of their own projects or simply fit their own styles. Thus the models illustrate both the general and the particular.

These models are, with one exception, precis of Task Force members' final reports. The one exception is a token of the S-ACU Project's awareness that strong systems of self-assessment can and are operating outside the Project. Most of the final S-ACU reports follow a planned format: origin of the project, goals (and revisions), structure, procedures, techniques and instruments, obstacles and solutions attempted, results to date, budget, conclusions. The user of this Handbook will find the index which follows a useful locator for those models which give special attention to some of the major concerns of self-assessment. A few of the charts from the final reports and the forms used by individual projects are reproduced here, but for more information, instruments and insights which are included in the final reports would need to be consulted.

Results on campus in the form of administrative and faculty restructuring, updating of student services, changes in programs due to a follow-up of students during and after graduation, are presented in the individual reports. Many additional results have occurred since the reports were written, however, and will continue to evolve as the process of self-assessment functions on a continuous basis. Within six months of the inception of the Regents' project, it became clear to all involved in it that two years was usually too brief to accomplish major changes, but what happened was almost always significant.

On some campuses, the lengthy and often sensitive process of including those people who would be affected by decisions in the evaluation itself became the most important result of their efforts. They gained a new sense of trust in an evaluative process that would not mean retrenchment without warning. For some, just establishing a regularized process of orderly decision-making based on data was a great step forward. For others, a committee or structure that worked especially well during the project became a permanent entity.

One goal of the S-ACU Project was to establish models of self-assessment for use by other colleges. These models reveal themes which augment points in the Guidelines. Designing the project to yield intermediate results encourages the development of continuous systems which will have lasting value for planning. Shared ownership of the project is as important as a clear interest in self-assessment from the campus leadership. While most campuses have significant resources to draw on for expertise, sometimes an outside consultant should also be used when the task is clearly defined. Some of the present projects were alert for opportunities to attract funding for development of campus accountability.

The diverse characteristics of each campus in the project required that each Task Force project be tailored to special local needs. So too will be the adaptations of these models, and also entirely new conceptions, on other campuses which undertake objective, continuous self-assessment.

A LOCATOR OF ACTIVITIES

in Task Force Models

This index of Task Force college self-assessment activities refers to significant topics presented in the models which follow. It does not present all the activities of the listed colleges, especially the features of those assessments which are only recently begun.

ACCREDITATION

SUNY A&T at Delhi

ADMINISTRATIVE EVALUATION

Corning C.C.

Marist College

SUNY A&T at Delhi

ADVISING/COUNSELING

Marymount Manhattan College

SUNY A&T at Delhi

ATTRITION/RETENTION

SUNY at Binghamton

Wagner College

BARRIERS TO SELF-ASSESSMENT

Corning C.C.

Hofstra University

Marist College

New York City C.C.

SUNY at Binghamton

SUNY at Plattsburgh

CHANGE

Clarkson College

Marymount Manhattan College

CHECKS AND BALANCES

SUNY A&T at Delhi

COMMITTEE RESTRUCTURING

Wagner College

CONSULTANTS FROM OUTSIDE

Corning Community College

Hofstra University

Marist College

SUNY at Oswego

SUNY at Plattsburgh

DATA GATHERING

Clarkson College

Marist College

Polytechnic Institute of NY

SUNY at Binghamton

SUNY at Geneseo

FACULTY EVALUATION

Marist College

SUNY at Oswego

FINDINGS—NEGATIVE

Clarkson College

FOLLOW-UP OF GRADUATES

Clarkson College

CUNY-Brooklyn

Polytechnic Institute of NY

SUNY at Geneseo

FUTURE OF SELF-ASSESSMENT

Marymount Manhattan College

SUNY at Binghamton

SUNY at Oswego

SUNY at Plattsburgh

Wagner College

GOAL REVISION

Clarkson College

Hofstra University

SUNY at Binghamton

SUNY at Plattsburgh

GOAL SETTING

Marymount Manhattan College

INDUCEMENTS

Marist College

Polytechnic Institute of NY

INSTRUMENTS FOR EVALUATION
passim.

INVOLVING OTHERS

Clarkson College
SUNY at Binghamton
SUNY at Oswego
SUNY at Plattsburgh

NETWORKS FOR COOPERATION

SUNY at Geneseo
SUNY at Plattsburgh
Wagner College

OUTCOMES STUDY

Clarkson College
CUNY-Brooklyn
Polytechnic Institute of NY
SUNY at Geneseo
SUNY at Plattsburgh

PRE-ASSESSMENT

SUNY A&T at Delhi

PRIORITIES FOR SELF-ASSESSMENT

Marymount Manhattan College

PROGRAM EVALUATION

Clarkson College
Corning C.C.
CUNY-John Jay
SUNY A&T at Delhi
SUNY at Geneseo
SUNY at Oswego
Wagner College

QUESTIONNAIRE FOLLOW-UPS

Clarkson College
CUNY-Brooklyn

REALLOCATION

New York City C.C.

RESIDENCE HALLS

SUNY A&T at Delhi
Wagner College

SPIN-OFF STUDIES

Clarkson College
Corning C.C.
Hofstra University
Marist College
Marymount Manhattan College
SUNY A&T at Delhi
SUNY at Oswego

TELEPHONE INTERVIEWS

CUNY-Brooklyn
SUNY at Binghamton

USE OF FINDINGS

Clarkson College
New York City C.C.
SUNY at Delhi
Wagner College

VALUE ADDED

SUNY at Plattsburgh

WORKSHOPS

SUNY at Binghamton
SUNY at Oswego
SUNY at Plattsburgh

ACRONYMS AND ABBREVIATIONS USED

ACE	American Council on Education
ACT	American College Testing Program
AIDP	Advanced Institutional Development Program
CUNY	City University of New York
ETS	Educational Testing Service
FIPSE	Fund for the Improvement of Postsecondary Education
I-R	Institutional Research
MBO	Management by Objectives
MIS	Management Information Systems
MAP	Master of Arts Program
MSA	Middle State Association of College and Schools
NCHEMS	National Center for Higher Education Management Systems
PERC	Program Effectiveness and Related Costs
PME	Planning, Management, and Evaluation
SAT	Scholastic Aptitude Test(s)
S-ACU	Self-Assessment for Colleges and Universities
SED	New York State Education Department
SUNY	State University of New York

WAGNER COLLEGE

Faculty Committee Restructuring; Student Life

Wagner College had a history of self-studies when it joined the S-ACU project in 1976. In 1974 it developed a Long-Range Planning Program which became a basis for reports to the Regents in later years. Since 1975 the College has engaged the assistance of the State Education Department Office of Higher Education Management Services to examine admissions, financial aid, and a five-year enrollment and financial projection. The reports have been used extensively and the five-year plan is a basis for the administration's annual budget projections. A number of academic and administrative departments had studied their operations, but no attempt was made to compile data in a central location for purposes of either dissemination or study beyond the departmental level. On a college-wide basis, the data had little use.

Wagner became a pilot member of the S-ACU project because its administration wanted assistance in analysis and planning for the future. The College was experiencing a decline in enrollment and income and faces rising costs. To help maintain financial and programmatic viability, the new President, John Satterfield, decided to examine all areas of College management and programs. He named Norbert H. Leeseberg, his assistant and Director of Institutional Research and Planning, to coordinate the project.

Goals

Wagner set six goals for the two-year project:

1. To evaluate some of the techniques that have been used at the College in the past.
2. To provide the opportunity for faculty and administrators to learn how to assess themselves under formally agreed conditions.
3. To discover new techniques of assessment.
4. To secure assistance in preparing for the Middle States Association's (MSA) re-evaluation of the College in 1980.
5. To develop a consciousness of the need for self-assessment.
6. To attempt to develop an ongoing system of assessment.

Two of the goals, preparing for the MSA reevaluation and developing an ongoing system of assessment, were viewed as long range. The others were to be short-term goals, but as personnel change and newer techniques of assessment are developed, they too fall into the long-range category.

The Faculty Council showed neither receptivity nor animosity toward the project. During the project's early months, Wagner became involved in intensive collective bargaining on campus. This diverted faculty and administrative attention, especially from a project which depended heavily on their joint effort.

Wagner College

For its first year the College set a goal of simply developing a consciousness of the need for self-assessment among faculty, administrators, students and members of the Board of Trustees. To achieve this the College chose four areas for systematic investigation, analysis and appropriate action: 1) faculty committee restructuring in light of the collective bargaining agreement; 2) "attrition of students," later changed to the more positive "retention of students"; 3) residence halls, and in hope that the first three would lead to the last, 4) an assessment of academic programs. In each area, lines of communication between those directly coordinating the project and faculty and administrators were kept open. In this way, first-hand data were available to answer some questions pertinent to substantial recommendations for action.

Project Structure

In the faculty's early deliberations they elected a Faculty Restructuring Committee to assess the effectiveness of the committee structure and, if necessary, make recommendations for its improvement. The Committee called freely upon administrators for assistance and invited Joseph Katz of SUNY at Stony Brook, who had been located by the S-ACU Project office, to serve as a consultant. Several priorities became apparent:

1. communications need to improve within and among committees;
2. ad hoc committees should be part of the formal structure of faculty operation;
3. clarity of responsibility should be established in the decision-making process; and
4. more emphasis should be placed on the relationship of faculty and students.

Committee recommendations were approved by the faculty. The major improvements were the inclusion of all ad hoc committees into the governance structure, the assignment of affirmative action responsibilities and College self-assessment to committees, and the expansion of more specific duties to the Student Affairs Committee—a matter highly emphasized by Katz.

The faculty also adopted a policy to improve communications between ad hoc committees and themselves. All such committees involving faculty would include a member from the Faculty Council or from one of the permanent committees which in turn would report directly to the Faculty Council and faculty. An example of this new procedure involved the Dean of Students Office. An ad hoc committee of faculty, students and administration chaired by the Dean worked on a rewording of the discipline section of the student handbook. At the conclusion of their work, the Dean made a formal presentation to the faculty's Student Affairs Committee. The chairman of this committee reported to the Faculty Council and to the entire faculty on the changes, which they supported.

To investigate student attrition, a questionnaire for nonreturning students designed by NCHEMS and revised to meet Wagner's needs was sent to 1127 former

students covering a period of six years. Because of the time span, it was assumed that the returns would not be of statistical significance but would be helpful to College personnel in advisement, counseling, financial aid, programming, and dormitory life. The questionnaire is now a regular part of the College's program of gathering information on non-returning students.

The third area of investigation was policy on students' living arrangements. Previously the College had permitted only upperclassmen to choose living arrangements. In 1977, as a result of the study, a decision was made to permit freshmen the same choice.

During the two years, bases for the assessment of academic programs were established but no results are yet available. The College began using the Cooperative Institutional Research Questionnaire for all new students in 1977 to supplement the information already gathered on student characteristics.

Techniques and Instruments

The techniques developed and used in the project were perhaps more important than any single result, since the established procedures set an example for getting things done by the decision-making process. In the Residence Hall study, for example, objectivity, follow-up, timing, open discussions and computer data all were vital to the process of moving the issue from vague idea to reality:

- a. a questionnaire gathered students' reactions to dormitory living options;
- b. the Housing Director and resident directors followed up on the results of the questionnaire with the Dean of Students;
- c. the matter was moved into a formal report to the Student Life Committee of the Board of Trustees, which reacted favorably to the recommendation that flexible living options be made available to freshmen.

Awareness of the value of self-assessment led to use of some standard instruments such as the NCHEMS survey and the regular examination of other kinds of questionnaires or analytic tools available commercially. Wagner's involvement in the Regents' Project provided the College with a knowledge of similar programs on other campuses. These and other resources also helped staff design some of their own instruments.

The establishment of a data base in 1976 helped determine the technique used in gathering information and formulating recommendations. The survey form used by the Office of Career Planning and Placement was found a useful tool for others as well. ACT and the MSA provided help and training in the techniques of recruitment, advisement, and retention of students. Instruments suggested by the MSA have been gathered by Leeseberg and the Faculty Committee to assist in coordinating the Middle States report prior to the formal team visit in 1980.

Budget

Wagner's budget remained close to the \$4,000-a-year grant and included

Wagner College

\$2,000 for the director's released time to work on the project, as well as funds for instruments (\$1,700), travel and orientation meetings for staff and faculty (\$1,800) and consultants (\$500). Significant indirect costs were incurred by Leeseberg's use of College's facilities and office personnel. Due to a changeover in hardware, the Computer Center, part of the original plan, was not used to any great extent for analytic purposes. It did provide all of the data required in reference to student characteristics.

Progress to Date

Wagner has made significant progress in attaining several of its original goals and has made a definite commitment to continuing self-assessment. At the completion of the two-year project, the faculty decided to make several changes in their committee structure, and a new "Self-Assessment Committee" was appointed to work with Leeseberg, to act as a clearinghouse for data, and to coordinate and distribute information to appropriate committees for discussion, review and recommendation.

Those involved in self-assessment at Wagner feel that the greatest result of the S-ACU Project has been the emergence of projects which form a linkage with other operations within the College:

1. Reorganization of the Office of Academic Affairs: This involved the assessment of the office, after which a new position of Academic Vice-President was created. A reassignment of duties which four persons did previously in the office of Dean of the Faculty and Dean of Academic Services produced greater efficiency and a reduction in personnel.

2. A Study of the Relationship of SAT Scores, Financial Aid, and Attrition: Data from this study, initiated by the Dean of Students, will be used as part of the College's program of admission and retention of students.

3. Flexible Living Options for Students: As previously stated.

4. Student Living Rules and Regulations: As the study of residence halls proceeded and the flexible living options were studied, a need developed to study the rules and regulations of the College's living policies. The Project Director gathered material from ten comparable institutions in the area for the Dean of Students.

5. Board of Trustees Workshop: The Board members assessed their methods of operation using an instrument published by the Association of Governing Boards. Similar self-studies are planned for the future.

6. Interdisciplinary Studies Task Force: Appointed by the President, the Task Force of faculty members developed a program of interdisciplinary studies for students as a modification of the current core requirements. The Task Force has received outside funding, and a proposal has been developed to attract funding for the training of faculty members.

7. Analysis of Student Applications: As a result of the data gathered via

the Cooperative Institutional Research Questionnaire and as a result of the dramatic change in the number of applications received, the Dean of Admissions recommended that the College engage the services of the Association for Innovation in Higher Education to survey applicants during the past year who ultimately decided not to attend Wagner.

8. Administrative Handbook: To clarify the roles of personnel and to improve services to students, a handbook is being prepared.

9. Organizational Effectiveness in Higher Education: The College participated in a pilot project involving 41 institutions in the Northeast which attempted to assess organizational effectiveness in higher education using nine empirically derived dimensions: Student Education Satisfaction; Student Achievement Development, Student Career Development, Student Personnel Development, Faculty and Administrator Employment Satisfaction, Professional Development and Quality of the Faculty, System Openness and Community Interaction, Ability to Acquire Resources, and Organizational Health. The project was developed by Kim Cameron, a doctoral student at Yale University. Leeseberg hopes to readminister the instrument at Wagner and compare the results after a two-year time span. He also shared the instrument with his S-ACU Task Force colleague at Marist College.

10. Instructional Resource Survey: An extensive survey by the Department of Audio-Visual Services was designed to stimulate interest in such workshops as Systems Approach to Instruction; Individualized Instruction and Communication Theory.

Summary

As a result of his experiences, Leeseberg emphasizes several important principles to observe as an institution attempts to develop a program of self-assessment:

- ° A constituency must be led to discover a problem, not just told that one exists.
- ° A support system must be developed to provide expertise in specific areas.
- ° Personnel lacking skills should be trained to gather and interpret data.
- ° Self-assessment is a matter of evaluation of programs, activities, and individual participation in programs to improve the operation, not criticize it.
- ° The promise that self-assessment is a panacea must be tempered with the reality that the evaluative process is just a beginning to the solution of problems.
- ° Efforts must be made to streamline the decision-making process.

Two major ingredients in the success of Wagner's project were strong support by the President and excellent cooperation from faculty, students and staff. The maintenance of open communication facilitated that cooperation. The Wagner

Wagner

community learned that self-study could, through data-gathering and recommendations, lead to decision-making and change. As people see their efforts come to fruition, enthusiasm is generated for continuing self-assessment efforts.

MARIST COLLEGE

Assessment of Faculty Evaluation Procedures

Self-assessment was no stranger to the Marist community when the College joined the S-ACU Project in an associate capacity in January 1977. In the last decade particularly there had been many institutional efforts to review and evaluate various components of campus life. In most cases, previous self-study projects had evoked positive change in academic policies and curriculum, so those in the academic community were receptive to future studies.

Also, a number of transitions took place at Marist during the past 15 years: institutional control had shifted from a religious affiliation to a secular Board of Trustees, coeducation was introduced, and the College had developed two graduate programs and an Office of Special College Programs. As a consequence of these changes, the environment of the institution, which had previously been highly personalized, informal and homogeneous, became much more complex, structured and diverse. Clearly it was time to focus attention on existing personnel appraisal systems to determine whether they were advancing or obstructing the achievement of institutional goals for the present and future.

The Academic Dean named Vincent L. Toscano, Professor of History and Director of Learning Resources, to direct the project and chair an ad hoc committee of the Faculty Policy Committee in order to provide a link to the faculty governance structure.

During the 16 months of the project there were two major surveys of all the administrative staff personnel, a student survey sample, two major faculty surveys, and individual interviews of the promotion committee, departmental/divisional chairpersons, and major staff supervisors. Results were reviewed, refined and distributed to appropriate faculty and administrative decision-making bodies for comments and suggestions.

As part of the Regents' Project plan, a consultant was sent by the S-ACU Office to aid Marist in its efforts. Robert Birney, Academic Vice-President of Hampshire College, and Livingston J. Smith, liaison to Marist from SED, met with faculty and staff to discuss self-assessment goals. Toscano felt this visit was a powerful stimulus to their efforts, especially in clarifying goals and determining the need of a timetable for action on their findings. After Birney's visit, Toscano made personal contact with faculty and staff groups to integrate their reactions into the progress of the project.

To achieve the major goals of review and, if necessary, revision of existing personnel appraisal systems, the project established certain objectives:

1. to gather information regarding existing procedures which were both descriptive and evaluative;
2. to generate recommendations for revision of existing procedures;
3. to implement changes in present procedures; and

Marist

4. to stimulate, through surveys and reports, campus interest in the S-ACU Project.

Beyond these immediate goals, Toscano hoped that the project would provide institutional support for more intensive and systematic assessment of all components of the College and that it would begin to develop strategies for continuous activities.

Because the project was essentially an assessment of assessment practices, all data collection efforts had to be specially designed to meet the unique problems on the Marist campus. During spring 1977, staff spent much time collecting extensive information about the current practices of faculty and staff appraisal systems. Interviews with faculty and students contributed to this large volume of data on the faculty appraisal system. Specifically in the area of staff evaluation, Toscano worked with the Vice-President, who had initiated a management by objectives (MBO) system and wanted to learn its impact.

An ad hoc Committee on Faculty Evaluation established to work with Toscano continued into the Spring 1978 semester to compile data and make recommendations for redesigning both student evaluation forms and colleague class visitation forms. The Committee presented a formal report to the faculty in May 1978.

This period of self-assessment at Marist will continue to be evaluated as its "ripples" cause further exploration and change. However, the following represent the most discernible effects to date:

Faculty Evaluation Component

1. New procedural guidelines have been proposed for Department/Division procedures for classroom observation.

2. New procedures and instruments will more critically assess areas of faculty responsibility beyond the classroom (e.g., student advising, departmental services).

3. Student responses to the project's survey indicated a wariness about the results of their faculty rating efforts. Two articles appeared in the campus newspaper which will become the basis for faculty-student dialogue on the critical importance of student input into the faculty evaluation process.

4. Efforts to assess institutional effectiveness will be linked more closely to student outcomes. A Learning Center will administer comprehensive tests to all new students which will create the foundation for a longitudinal study of students' learning progress in the future.

5. The role and function of the Committee on Faculty Development has been clarified.

6. Institutional policies which affect faculty evaluation and development (i.e., promotion and tenure quotas, sabbatical policies, the awarding of research grants) have been identified for further analysis. The outline for a comprehensive faculty development plan will be presented to the Academic Dean.

7. Project data has been linked to existing reviews of the Department/Division structure. This information modified a forthcoming proposal for a new divisional structure in the academic area.

8. Marist now has increased awareness of the need for emphasis on faculty development. Institutional funds will be allocated for a three-year teaching improvement project which will be administered by the Project Director and used by faculty volunteers.

Staff Appraisal Component

1. Baseline data on the progress of MBO and staff attitudes toward that system have been collected.

2. Follow-up surveys with key supervisory personnel showed they needed more organized direction such as the seminars for supervisors held during the 1977 Fall Semester.

3. A second MBO Survey has provided the basis for comparative data regarding implementation and staff receptivity.

4. A need for institutional investment in staff development has led to the formation of a comprehensive plan for staff enrichment programs.

5. Due to a lack of adequate assessment of institutional climate, the Institutional Functioning Inventory (ETS) will be administered in the future.

The self-assessment project has been a low-budget, moderately high profile effort on campus. The overall budget was approximately \$6,000, which paid for a portion of the director's salary, travel, secretarial assistance and supplies. The project was given executive administrative support, which permitted Toscano to consult with such campus personnel as the Director of the Computing Center; the Research Design Counselor, who helped to establish and verify design of surveys; and a Personnel Officer, who helped to coordinate institutional policies with assessment efforts. While there was no presidential involvement in the project, Toscano did confer with the Vice-President and Academic Dean regarding the goals, activities, accomplishments, and suggestions for implementation.

In summarizing the S-ACU project at Marist, Toscano made the following observations regarding both the process and procedures:

°The project did not receive a high enough priority to establish a real sense of its significance to the College. Persons directly concerned with the project could have benefitted from having a status with greater institutional "clout."

°The interactive process between the program director and campus personnel

Marist

was Toscano's most important task. Serious self-assessment requires careful concern not only for data collection efforts, but for the more subtle challenges of human leadership.

"The reality of institutional change is somewhat undramatic and tends to be more a process of relatively modest adjustments to circumstances and data, rather than a series of dramatic breakthroughs. Yet, in their cumulative effect, these modest changes represent important institutional initiatives.

Toscano, in appraising his role in the project, feels "both satisfaction with specific achievements and gnawing frustration with the work that remains to be done." Marist's plan to expand the project director's duties to include a continuing role in institutional assessment indicates that the director will have the opportunity to pursue his efforts.

STATE UNIVERSITY OF NEW YORK COLLEGE AT OSWEGO

Faculty Development and Program Review

When SUNY at Oswego joined the S-ACU Project as an associate, the College's goal was to develop a reviewing system that would provide information for decision making. Staff realized this emphasis on a process-oriented, rather than a product-oriented, project committed them to an ongoing study. This procedure, they felt, would best help them to develop successful programs their ultimate goal.

This concern for program development led to the adoption of several basic assumptions that served as guides:

1. Emphasis should be on the development of processes of assessment and evaluation.
2. The review process would involve many different criteria of excellence, many of them imperfectly measurable.
3. The process and outcome of self-assessment would not be solely an administrative function, since many crucial decisions were properly the responsibility of the faculty.
4. There is an important distinction between the content of an educational program and its delivery — excellence in one area does not imply excellence in the other.
5. The ideal outcome of the College's participation in the S-ACU project would be a continuous flow of necessary data that is valid, reliable, comparable over time, readily available and easily interpretable.

Background

Oswego's self-assessment project began with a survey of the existing faculty evaluation system. Ralph Spencer, Provost, then encouraged the Deans of the College and the Faculty Assembly to take specific actions on recommendations resulting from the survey. One proposal, priority weighting of evaluative criteria, has been partially implemented, while others were under consideration by appropriate faculty governance bodies.

Spencer's attendance at the S-ACU Project's Conference on Self-Assessment which it held for the Task Force in May of 1977 stimulated him to develop a specific plan of action that included the following elements:

1. The College would continue its association with the Project following the completion of the Faculty Evaluation Survey.
2. Participation in S-ACU should extend beyond the area of faculty evaluation.

Oswego

3. Efforts to plan a faculty development project and a review of undergraduate programs would be integrated into the self-assessment project as separate but overlapping components.

4. A workshop would be planned for fall 1977 involving all interested parties to:

- raise the consciousness of the faculty in general to the need for self-assessment.

- integrate the two major components of the project: faculty development and program review.

- clearly demonstrate the conviction of the administration that the project must be owned and sponsored by the faculty.

The Provost appointed Robert Schell, Associate Dean of Students, as the Coordinator of the Faculty Undergraduate Review Project. He then met with John Fisher, Chairman of the Faculty Assembly, who agreed to appoint the committee members to carry out the two-pronged project. Fisher supported the basic premise of faculty ownership and sponsorship of the project.

In the summer of 1977, after an Institute on Instructional Development and an on-campus workshop, two committees were appointed by the Faculty Assembly:

- The Faculty Development Committee, later renamed the Professional Development Committee, would be responsible for developing support facilities and programs to upgrade existing skills and to help faculty members retrain themselves for new responsibilities.

- The Program Review Committee would translate the four criteria proposed by the Board of Trustees—need, quality, efficiency, and program interrelationships—into operational concepts and concentrate on the "value added" for students through their learning experience.

Selecting a Project Model

By fall 1977 it became clear that the project needed a model for integrating the diverse activities proposed by the two Committees. A structure from a proposal made by Miyataki and Gray (Exhibit 2, p. 32) was adapted to link the variables of institutional functions and outcomes within the context of higher education in the State of New York. The model was vital in explaining self-assessment to members of the college community, in illustrating the overlapping tasks of the two Committees, and in describing the manner in which the elements are related to one another within the State University system. It also simplified the task of keeping the responsibilities of the two committees distinct.

In the fall, a review of the work that had taken place during the summer confirmed the fact that both faculty members and administrators were involved in educational decision-making. When either group lacked information about the nature of a decision or its consequences, the quality of the decision was

jeopardized by the unnecessary substitution of opinion for fact. While the administration had a sophisticated system of information gathering available, the faculty had none. Consequently, the faculty's decisions were more vulnerable.

This further emphasized the need to use the self-assessment process as a vehicle for providing the faculty with their own information base for program decisions. It also underlined the necessity for sharing administrative information with the faculty. Provost Spencer therefore appointed Herbert Garber, Director of Institutional Research, to the Program Review Committee to assure that the faculty had free access to information contained in the administrative system.

Support Groups

Oswego's self-assessment project was well received by all members of the college community. The local governance body, Faculty Assembly and academic administration actively cooperated in supporting the efforts of the Committees.

The Faculty Assembly's active involvement in the project also served as the major means of communicating the work of the Committees to the faculty at large. In addition to supplying the Committees with information and technical assistance, the administrative staff helped plan the Fall 1977 workshop, which had four objectives: a common conceptual basis for participants, insight into the concerns and problems of faculty and administrators, recognition of issues that needed to be resolved, and new ideas and directions for the conduct of the project. Two consultants, Professor Joseph Katz of the State University of New York at Stony Brook and Donald Tritschler, Chief of the State Education Department's Bureau of College Evaluation and Director of the S-ACU Project, attended to give advice and guidance. A second workshop held in March 1978 for the same group centered on progress reports from the Committee on Professional Development and the Committee on Program Review.

Goals

With the assistance of faculty, administration and outside consultants, Oswego staff feel that they have made significant strides toward the goals they set for themselves. The outcomes that appear in Exhibit 1 (pp. 30-31) are clearly not definitive or final. They do, however, represent some observable consequences of the activities that were undertaken. The self-assessment project has not yet progressed sufficiently to have had an impact on the nature or delivery of Oswego's academic programs, but its effects should be noticeable over a period of several years. Staff realized that in committing the College to a model and a process rather than a product, results would be slower than if they had adopted a product-oriented program. They are convinced their process is worth the time and effort involved.

The Future

One indication of the reliability of Oswego's process is its ability to sustain itself. Those involved are projecting their activities several years into the future. The Professional Development Committee is recommending establishment of a Faculty Resource Center containing specific teaching aids to help members of the

Oswego

faculty enhance their ability to work effectively with greater numbers of students and available resources. They are also seeking active ways in which to involve teachers and administrators in their project.

After studying evaluation models, the Program Review Committee recognized the value of a model that is based on an examination of the changes that occurred in students as a result of their participation in the college and its programs. However, a "value-added model," although desirable, is beyond the Committee's present abilities and resources. They have dealt with the problem by conceiving of the review process as a series of increasingly complex reviews:

STAGE 1 (1977-1979) Descriptive Study of Programs: faculty will describe the activities by which each college program meets various needs, assures quality, maintains efficiency, and links its activities to those of other programs. Results will be published and used as a basis for proceeding to subsequent stages.

STAGE 2 (1979-1981) Goal Attainment Scaling: the descriptions will be used to assist each program in the development of goal statements in each of the four critical areas. Program staff will be encouraged to monitor and report their progress toward the goals on a regular basis.

STAGE 3 (1981-1985) Value-Added Model: on the basis of the goals statements, the changes wrought among students will be isolated and observed. Goals will be established and the program's specific effects which were "caused" by the College measured. Programs will be modified on the basis of the information collected.

The depth of the project reflects Oswego's commitment to a continuous, evolving process of review.

Budget

Because Oswego is one of the associate colleges in the S-ACU program, it received minimal financial assistance to run a workshop at a time when no College funds could be earmarked for that purpose. The major investment was of faculty and staff time. Since May 1977, faculty and administrators have spent 500-600 total combined hours on the project. Actual dollars spent on the program were few and not recorded.

Summary

As a result of its participation in the S-ACU project, Oswego has made significant strides toward meeting the goals of:

- ° generating a pervasive awareness of the need for continued self-assessment;
- ° providing specific models of data collection and evaluation of the planning process;

Oswego

- °developing an internal system of accountability that satisfies the College's need for formative evaluation and a wider need for summative evaluation to meet the demands of society, the academic community in general, and the State University of New York in particular;
- °providing an efficient and effective method of analyzing each of the elements of the planning model and their interaction and of presenting the results clearly and persuasively;
- °providing the faculty with an information base suitable for their educational decisions.

Oswego's progress to date is a result of a positive attitude toward cooperation between faculty and administration to reach college goals.

EXHIBIT 1

SUMMARY OF GOALS FOR THE SELF-ASSESSMENT PROJECT DURING THE 1977-1978 ACADEMIC YEAR

GOALS

Generating a pervasive need for continued self-assessment as a basis for maximizing outcomes with a given set of demands and resources

SUPPORTIVE ACTIVITIES

Fall Workshop
Spring Workshop
Attrition meeting
Weighted student-credit-hour discussion

OUTCOMES

Expressed concern about:
reasons for leaving the College
integrating the Mission Statement and budget priorities
strengthening academic programs
records of graduates

30

Providing specific models of data collection and evaluation of the planning process

Program Review Committee study of models
Program model
Criteria development

Coordination of management and faculty information
Hearings on guidelines

Developing an internal system of accountability that satisfies the institution's need for formative evaluation and the wider need for summative evaluation to meet the demands for accountability of society, the academic community in general, and the State University of New York in particular

Cooperation between faculty and administration
Coordination with Middle States Review
Formal faculty research papers
Workshops and faculty meetings

(Outcomes have not been observed at the present time)

EXHIBIT 1, cont'd.

GOALS

Further refining the faculty evaluation system, incorporating the major recommendations of the 1977 King study

Providing an efficient and effective method of analyzing the elements of the planning model and their interaction and of presenting the results clearly and persuasively

Providing the faculty with an information base suitable for their educational decision and comparable to the information bases available to the local administration, State University of New York administration, and the Bureau of the Budget

SUPPORTIVE ACTIVITIES

Meeting of administrative staff
Negotiation with Faculty Assembly

Integration of administrative information system
Development of models by Program Review Committee
Communication of the two committees

Integration of Institutional Research into the review process
Inventory of current departmental review processes
General meeting to elicit questions from workshop participants
Open discussion of the usefulness of criteria information

OUTCOMES

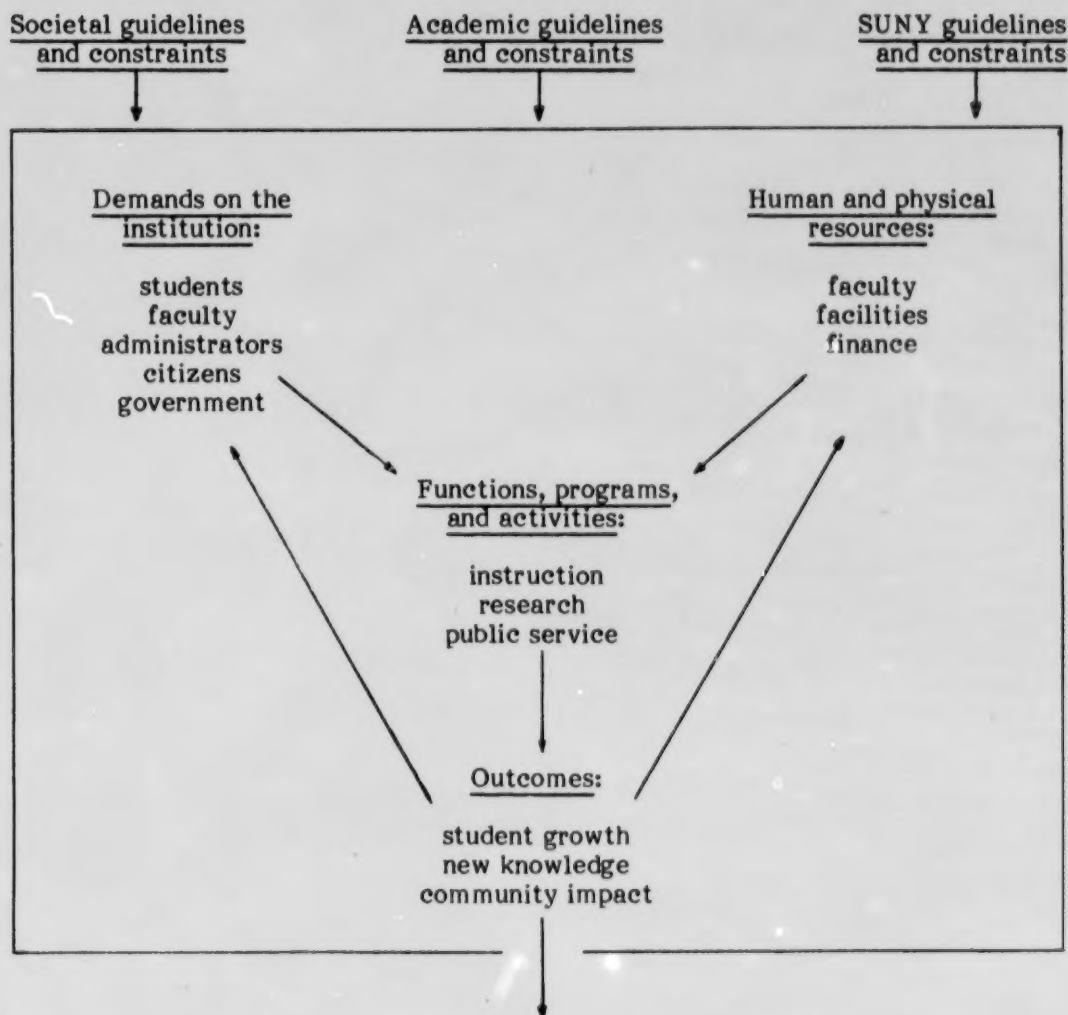
Adoption of weighted criteria
Formation of a Faculty Task Force

Planning for a continuing review process moving from description through goal assessment through "value-added" model

Interpretation of the current information data base
Discussions with Academic Policy Council of Faculty Assembly
Understandable picture of current self-assessment needs and activities of departments

EXHIBIT 2

PLANNING MODEL FOR THE IMPROVEMENT OF INSTRUCTION



Adapted from:

Miyataki, G. K. and Gray, R. C. Academic Unit Planning Manual: Field Review Edition. Boulder, Colorado: Western Interstate Commission for Higher Education, 1975.

CORNING COMMUNITY COLLEGE

Administrative Functions; Long-Range Planning

Corning Community College's choice of a self-assessment project reflected its recognition of weakness in previous self-assessment projects. The College wanted to create a data-based, long-range planning effort, but anticipated that such a study might be greeted with a feeling of reluctance and futility by the college community. Similar self-studies conducted in the past rarely tied to the College's missions and goals and had few residual effects. Gunars Reimanis, a professor of psychology and Director of Educational and Institutional Research at Corning, felt that participation in the S-ACU Project would provide the assistance, guidance, and encouragement to help him get the job done in a manner that would prove useful and informative to all involved.

When chosen as a pilot college, Reimanis and Corning's President and Dean of Instruction met with Warren Reich, the SED staff person assigned to the S-ACU liaison with that College. Reich suggested the school begin its effort by assessing administrative effectiveness. Some months later, Reimanis brought S-ACU's National Advisory Council member Gordon Blackwell to campus to consult with faculty and staff about management by objectives. The results of this study, in turn, helped the College identify and design a number of assessment activities that it needed to focus on.

Some of these activities are now completed or near completion: setting a formal assessment procedure for administrative staff, reassessing faculty evaluation procedures, and assessing effectiveness of programs designed to combat attrition. Program reviews examined the College's involvement in a correctional facility program, student changes from entry to graduation, characteristic changes within the College over a 10-year period, characteristics and needs of the older student population, cost effectiveness of programs, and the College's fiscal needs for long-range enrollment and budget projections.

Besides providing valuable information for a long-range data base, these activities served an important short-term purpose. Many results of the projects were advantageously applied in day-to-day college operations, creating a feeling on campus that this self-assessment activity was indeed useful, necessary and capable of creating changes. Equally important in generating a positive attitude toward the project was Reimanis' flexibility in working toward the College's proposed goals. Although no major changes were made, priorities were rearranged as information was collected, and relevant self-assessment issues were pursued as they appeared. For example, one of Corning's needs, arising from self-assessment of administrative functions, was to obtain from the Board of Trustees a statement on the College's goals and mission. When these statements were not forthcoming, Reimanis tried a different approach. He provided a forecast based on data gathered and attached a recommendation, which elicited from the Board a statement of commitment to languages and liberal arts at the College. By using this approach, the project has been successful in demonstrating its usefulness and thus stimulating a desire for self-assessment.

Reimanis also encouraged use of data in decision-making whenever practical. By tying data collection closely to decisions, the staff become aware of the

Corning

usefulness of data and, as a result, felt considerably less resistant to providing data they needed for their own purposes.

Throughout the administrative effectiveness study, a noncritical, non-evaluative climate made those involved feel they were helped to strengthen their skills and perform their duties more effectively and efficiently. Reimanis met periodically with the administrative staff to gather additional data by discussing their responses to the study. Most of the meetings, however, also included ways to improve management procedures.

Upon completion of the study it became clear the College did not have a coherent organizational framework at the administrative level. Goals were not stated, and the manner in which performances were being evaluated was unclear. With these conclusions, project members assisted the administration in preparing objective goal statements, initiated a series of data-based evaluations of programs, and reviewed the College's long-range goals and planning procedures. To date, most of the project's work has been on the latter two topics.

The expenses that Corning incurred in its study were far greater than the \$8,000 stipend provided by the SED. Over the two-year period, an estimated \$60,000 in staff hours have been expended on assessment-related work. Reimanis notes, however, that this expenditure should not be regarded as additional money that the Institution had to provide, since the faculty and staff time that was spent within the framework of an organized effort would normally be spent in similar but less productive ways. As a result of the study, for example, the College was able to revise its entire hiring, evaluation, promotion and tenure system to eliminate the countless hours of administrator and Grievance Committee time that was spent in resolving impressionistic evaluations. Similarly, a long-range planning committee to review financial and College goal implications in fund-seeking activities was organized and has eliminated past, scattered efforts.

Additional positive results of the Corning study include the introduction of a yearly evaluation of all administrators by superiors, immediate staff, and anyone with whom they have sufficient contact. The President is also evaluated by his staff (i.e., the head of each department) and the results are forwarded to the Board of Trustees. Also, Reimanis' office helped develop an instrument to survey retired citizens' educational needs, which resulted in a two-credit-hour course for senior citizens titled "The Human Body and Maintenance of Good Health." In the spring of 1979, courses from the Humanities, Social Sciences, Physical Education and Biology Divisions will be offered at various sites where the senior citizens meet weekly for subsidized luncheons.

The move to emphasize long-range planning and define the mission of the College in the community has helped Corning secure a \$7,000 planning grant which focuses on the future of postsecondary educational needs in its geographical area. Local and national leaders in education, business, industry and politics will be involved.

Reimanis found that the coordinator's personal contacts with the people involved in the activities were as important as support from the College's leadership in achieving some of the dramatic changes that have taken place at

Corning. Although this fact highlights the importance of a strong and trusted interest behind such an effort, he feels that the institution has become too dependent on one office (and possibly one person) for its data-based information. One continuing task of the College will be to develop standard instruments so that self-assessment can continue in key areas without the major involvement of the project director.

The most beneficial overall result of Corning's participation in the Regents' Project is its new, more aggressive and organized approach to self-assessment. The College has become more data-conscious and is beginning to recognize the value of objective information. Those involved feel that the two-year, concentrated effort to stimulate self-assessment by demonstrating its immediate and long-range applicability has been successful. Continuous and planned self-assessment activities are viewed by Corning as important and necessary functions for maintaining and improving the quality of education.



NEW YORK CITY COMMUNITY COLLEGE

Planning and Implementing Program Assessment

Since New York City Community College was founded in 1946, it has become a leader in career education. It offers more than thirty programs, many of which are unique in the city and State, to 13,000 students in Brooklyn and Manhattan. Keeping an adequate level of support for career programs, in order to meet the needs of industry in the area, has become a major problem for the College.

Funding for these programs depends upon the enrollment of full-time equivalent students. While the regional labor market was growing to meet local demands, and higher education was a recognized avenue for economic mobility, there was no pressure for program evaluation. Beginning in 1974, however, a unique combination of events changed the climate in which the College operates:

^oThe budget for New York City College decreased from \$32 million in 1974 to \$20 million in 1978 through a series of City-imposed cuts.

^oLike all other CUNY institutions, the College closed for two weeks in May of 1976 because of a lack of funds in the operating budget. Retrenchment of staff followed—approximately 40 full-time faculty, 13 counselors and more than 200 members of the classified staff, were terminated.

^oTuition was imposed in 1976 under Federal and State pressures; the number of students needing financial assistance swelled dramatically.

These changes forced the college into a "market model"—all public community colleges had to compete with the private colleges in the metropolitan area for students. Educational programs had to be evaluated, marketing and recruitment strategies had to be devised, new modes of management organization had to be considered, and alternative modes for resource development had to be explored. The College began evaluating all programs in the Fall of 1976 to strengthen those that were weak and to eliminate those with limited market prospects if funding continued to deteriorate. Two general approaches to assessment were considered: planning and reallocation, and pruning and grafting.

Planning and Reallocation

In the past, the College had changed to meet newly discovered needs simply by adding programs, courses, or services. When fiscal shortages no longer permitted change through addition, the institution began to study the changing needs of students and constituencies. Reallocations would be based on a reexamination of institutional goals and objectives. The College would need a monitoring system to assess institutional functioning and a systematic approach to long-range

Editor's Note: Though New York City Community College was not in the S-ACU project, its self-assessment compares well with those of the Task Force. Richard Alfred, who is Executive Assistant to the President of NYCCC and its Director of Educational Research and Development, has also developed a master plan for institutional research.

planning. The goal would be to avert or at least to deal creatively with retrenchment, should further cuts be necessary.

Reallocation of fiscal resources would be the key to the concept of long-range planning. Planning would enable the College to assess where it is now as against where it would want to be in the future and to plan techniques to move toward the achievement of its goals. In short, the institution would measure how well existing programs furthered its specific goals and would plan how to move in the desired directions. The plan would encompass all aspects of the institution—policies, procedures, programs, services, and staff—and would organize the academic and administrative units to pursue specific goals.

The time required to develop goals as a guide for action is considerable. Since achievement of the goals was not expected within one year, the objectives accomplished each year would need to be examined by establishing a monitoring system to measure the movement toward the established goals. Corrective action would need to be taken when the desired progress was not achieved.

The second approach to reallocation would be organizational analysis which would begin with an assessment of the programs presently in place. Staff would define the ideal methodology and results of each program. The statement of the ideal would then be compared with the results of the program assessment. Several key elements of each program would be reviewed:

1. What purpose does the program serve?
2. When was the program initiated and for what purpose? What has been the history of its growth and development?
3. Can the program be operated in a less elaborate manner and at a lower cost? What reduction in services would result?
4. Can it be combined with another activity?
5. Can it be organized so as to provide greater services at the same cost?
6. Can it be expanded to better meet emerging needs?

The answers to these questions would prepare decision-makers to eliminate, reduce, or expand the programs that are presently in place. This method lends itself to a swifter reallocation of resources than long-range planning does. It would enable the institution to respond on an immediate basis to a need to reduce the costs of operation while still maintaining some element of positive change.

Pruning and Grafting

A second general approach to assessment is called "pruning and grafting." A latent benefit of consolidating courses and programs is the discovery of new

New York City

resources to fund new programs and courses considered essential to the mission of the institution. The following principles would direct the pruning and grafting approach:

- ° Follow priorities. All programs, existing and proposed, would be judged against the same priority list to weigh the value of all operations objectively.
- ° Strive for excellence. High-quality programs generate institutional support and enrollment; and weak programs that are low on the institution's priority would be considered for discontinuation.
- ° Complement what exists. Programs or courses which complement or support programs that are essential to meeting the objectives of the institution may attract students not otherwise interested in college attendance. Programs such as short-term skill training for immediate employment or short certificate programs would need to be considered for grafting into existing programs within the regular curriculum.
- ° Avoid competition. Competition with other agencies or institutions or among the programs in the College can cause duplication of services and programs.
- ° Pay attention to costs and benefits. Programs and services with low benefits and high costs would have to be considered as areas for pruning; those with high costs and important benefits may need to be retained but should not be overlooked as candidates for cost cutting.
- ° Examine prospects for generating funds. Courses and programs that attract more income than they consume could generate funds for other projects high on the priority list of the institution.
- ° Examine enrollment trends. Enrollment projections can help to predict where budget cuts may need to be made and additional resources allocated. Full-time staff could be reduced through attrition if the warning signals are seen far enough in advance. Where a downward trend is explainable, some special recruitment or retention efforts might remedy the decline.

The total financial condition of the institution would dictate whether or not "grafting" of the curricula in the present program is possible. Few institutions are experiencing the problems of New York City Community College, where drastic and immediate cuts have had to be made overnight to survive. The usual condition is a gradual erosion of the budget over a protracted period of time. Pruning and grafting must begin early in a decline to achieve the best results.

Methods and Procedures

Having carefully weighed the advantages and disadvantages of the two approaches, faculty and administrators at New York City Community College chose to integrate elements of both approaches into a single approach called "program review." The program review, coupled with a statement of institutional goals, would provide decision-makers with the data needed to tackle the problem of

reallocating fiscal resources. It involved the analysis of a number of factors which combine to shape the vitality of the academic program. (Exhibit 3, pp. 41-42)

In November of 1976, the sub-committees of two standing committees in the College (the Budget subcommittee of the Personnel and Budget Committee and the Curriculum Committee of the College Council), the Dean of Faculty and the Director of Educational Research and Development were asked to develop and independently submit potential program evaluation measures to the President. These measures were found to be similar in content and meaning and were readily accepted by the governance units of the college. The process of data collection began and a wealth of computer-generated data was collected, synthesized into a manageable format, and submitted to the subcommittees for review.

The program review process ended almost immediately, when the financial crisis dissipated and the programs were no longer in danger of losing resources. Some faculty expressed interest in using the data to strengthen the quality of the existing programs, but the general feeling of the majority was one of relief that the fiscal crisis had abated and there would be a return to "business as usual." The program review data were shelved in May of 1977, not to be used again until November of 1978.

Obstacles and Solutions

A new President was selected for New York City Community College in August of 1978. Fiscal austerity by this time had become an annual ordeal. The Fall 1978 enrollment at New York City Community College had fallen 1,100 students short of the projected enrollment for the 1978-79 academic year. Moreover, State auditors had just discovered a discrepancy between the number of students claimed for State aid by CUNY and the number of students actually registered at the College for courses. The College would be required to set aside a \$1.017 million reserve to cover the enrollment shortfall and to reduce its budget by \$250,000 to make up the "audit disallowance." Furthermore, an audit disallowance would be withheld from the operating budget each year for the next five years in anticipation of differences between institutional and State claims for State aid. The final blow was a communication from the City indicating that a three to five percent cut might be required in the 1979-80 budget because of the austere condition of City finances.

The President responded by reorganizing the structure of the College to produce a \$200,000 savings in administration and reinstituting the process of program review at a level of intensity that exceeded the previous effort. Data collection procedures were designed to include several new factors in addition to the original fifteen variables. Five-year historical data were collected and tabulated for a total of eighteen variables. A consultative process followed in which the deans of the four academic divisions in the College were asked to discuss these variables with their faculty and department chairpersons and then to "weight" each variable as to its importance for evaluation of the strengths and weaknesses of all programs. Next a meeting was held with the deans for the purpose of arriving at a consensus with regard to the rank-order of variables for decision-making in relationship to the consolidation, elimination or modification of programs. The programmatic data were then released to the academic depart-

New York City

ments with the understanding that a period of review and modification would follow in which all parties would have an opportunity to add to or modify the data if such a step proved to be warranted.

Converting Data into Action

In attempting to convert the results of program assessment into decisions about the academic program, faculty and administrators at New York City Community College have encountered a number of problems. Have all of the parties affected by a programmatic decision been consulted? Have the program assessment variables been fairly "weighted" according to their relative importance to the institution? Has a representative committee, task force, or management group of some kind been assigned the responsibility for making decisions about programs? Is this group viewed as "legitimate" by all constituencies within the institution? Will the results of program assessment be treated in the normal context of institutional activities, or will a special mechanism be set up for the conversion of data into action? These and other problems could easily have forestalled the efforts of the institution to integrate the results of program assessment into the decision process if procedures had not been developed early to head off anticipated problems.

Faculty and administrators at New York City Community College have faced all of these problems and chosen to follow a deliberate process of program assessment with three critical elements: 1) a full process of consultation with all constituencies in the College regarding the variables used in assessment, 2) a precise timetable for all assessment activities with firm beginning and end points, and 3) a specified management group responsible for the "weighting" of assessment criteria and ranking of all programs according to their strengths and weaknesses.

The best preparation for decision-making regarding the status of programs consists in part of having an extensive bank of data available as well as a write-up on the alternative approaches that can be used to review the data. Decision-makers can then decide which academic programs need to be phased out and which should be retained. By comparing the goals of the institution with its program inventory and data related to community needs, managers can determine program gaps and begin to develop new programs. If a shift in some programs is required to conserve resources, such decisions can be made on the basis of data describing their strengths, weaknesses, and costs. These and many other decisions about the vitality of the academic program can be made by utilizing information gathered through the program review process.

Conclusion

The mix and weight of the aforementioned procedures may vary somewhat from institution to institution. They are not so much parts of a formula as they are suggestions to prod thought. The program review process is both political and educational; it is therefore subject to a variety of pressures from a variety of sources. The more serious the consequences, the greater the pressure that will be applied. Only by focusing on assessment criteria and a procedure for converting data into decisions can faculty and administrators avoid pressures that may be shortsighted or self-serving.

EXHIBIT 3

Program Review Measures

	<u>Measure</u>	<u>Description</u>
Program Demand	Program Uniqueness	Tabulation of Institutions offering career programs indential to those at NYCCC, in New York City, and State
	Admissions Demand	Tabulation of first choices for college programs, 1973-1978
	Enrollment History/ Headcount Enrollment	Student enrollment classified into categories of part-time and full-time over the six-year period 1973-1978
	Market Forecasts of Job Opportunities for Graduates	Summary of data related to job prospects for gradutes of career programs as reported in local and state surveys of man-power needs: New York State Dept. of Labor (488-6772) Bureau of Labor Statistics (399-5405)

Cost-Benefit Analysis	Credits and Weekly Contact Hours Produced by College Programs	Self-Explanatory
	Credit Enrollment and Attrition	Tabulation of student credits at beginning of semester and comparison with total credits at end of semester--item of analysis is credit loss or "credit attrition," 1973-1978
	Program Costs	Cost per FTE of instructional programs and credits and contact hours generated by each program
	Student Outcomes Following Graduation From Career Programs	Measure of student outcomes after graduation, such as advanced degrees, job changes, promotions, etc., 1973-1978

Exhibit (cont'd)

Program Review Measures

	<u>Measure</u>	<u>Description</u>
	Student Perceptions of Quality of Programs	Student responses to surveys inquiring into the quality of preparation programs gave them for a career, further education, 1973-1978
	Grant Activity	Total annual Value of Grant administered in College Programs, 1973-1978
Cost-Benefit Analysis (cont'd)	Graduates Per Program/ Calendar Year	Annual graduates per year for each program, 1973-1978
	Student Attrition in Programs	Analysis of rates of attrition of entering student cohorts at yearly intervals in each program
	Value of Equipment by Program	Self-explanatory
External Evaluations	External Evaluations by Accrediting and Consulting Agencies	Self-explanatory

STATE UNIVERSITY OF NEW YORK
AGRICULTURAL AND TECHNICAL COLLEGE AT DELHI

Academic Program Review; Review of Student Services

Since its most recent accreditation by Middle States in 1971-72, the State University Agricultural and Technical College at Delhi has placed strong emphasis on a continuing program of self-assessment as part of its planning and management process. In 1976, anticipating pressure for "accountability" both from SUNY's central administration and from the general public, and realizing that its evaluations should be more systematic and comprehensive, Delhi drew up a master plan which included a policy that required periodic program evaluation.

Preparation of this Plan also provided the occasion to develop for the first time a campus mission statement based on significant input from community leaders and the College Council. Thus was the stage set for the evaluation of each program based on its contribution toward accomplishing master plan recommendations and the campus mission.

At this point the State Education Department (SED) invited Delhi to submit a proposal to become part of its S-ACU Project. Delhi declined the offer because the time in which to develop a proposal was too short, and the College was reluctant to open to public view an untitled pilot evaluation program. On the invitation of the SED staff, Delhi did decide to become an associate member, receiving only travel stipends for attendance at the S-ACU meetings but with the opportunity to share experiences with the 14 other colleges and the Project staff.

The Master Plan

From the outset, academic administrators at Delhi were committed to institutionalizing program review. In general, their ideas on effective program evaluation had grown out of professional experiences in their own departments. The goals they set for themselves initially were modest in comparison to the way in which the project mushroomed as it gained momentum.

Short-Range Goals

1. Improvement in the student's environment for living and learning through completion of a residence hall evaluation.
2. Commencement of a continuing system for academic program review.
3. Implementation of a continuous system for assessment of the College's accomplishment of its mission and Master Plan.

Long-Range Goals

1. Systematic review of student services and institutional support programs.

Delhi

2. Coordination of planning and evaluation with the financial planning and budgeting processes of the College.

These goals were not specifically developed for the S-ACU Project; they were an extension of previously planned efforts.

Ronald Brach, Director of Institutional Research and Planning, was responsible for overall project coordination and assessment. A subcommittee of the College's Curriculum Committee (Brach, the Assistant Dean of Academic Affairs, two faculty and two students) was established to guide, monitor and assist the faculty in their academic program review. A parallel committee was established to guide program review of student service functions.

The Process

The project moved rapidly, due to four influences: the need for information of a new administration in the Student Affairs Office, campus-wide acceptance of evaluation resulting from experience with a comparable and highly successful program review the year before, strong and active support from the President, and pressure on the staff to live up to their reputation as innovators in the field of self-assessment.

Delhi had already accumulated enough data to achieve its goals when it began its project. It placed emphasis on teaching the faculty to interpret and assimilate the information already available to conduct their self-study reports. The College designed a system of checks and balances to maintain maximum objectivity and credibility at all levels and to assure institutional progress. Separate steering committees were established within each major campus functional area (i.e., academic affairs, student affairs). Brach served as an adjunct to each committee to help maintain consistency of interpretation of review findings.

Timetables for the review of each program added an important measure of organization, commitment and expectation which Delhi considered essential to the project. The use of external panels increased objectivity. The schedule also established a cycle for the complete review of each program at least every four or five years, with provision for annual progress reports.

Previous experiences had shown that good program evaluations at Delhi could not begin with designation of committees or collection of data, but rather should begin with a judicious planning process aimed at achieving results. This "pre-assessment" requires careful study of the political considerations involved and design of the program to accommodate them.

Three principles or guidelines for program evaluation evolved from this pre-assessment process:

1. Anticipated outcomes and expected impact must evolve from preassessment.
2. Assumptions which link resources—time, staff, facilities—to their expected effect on achievement of program outcomes should be specified in advance.

3. The leadership and decision-making context should be defined to establish who is responsible or has the ability to act within the range of actions possible.

Correct matching of leadership with a potential evaluation was found to have more beneficial results than any other single aspect of pre-assessment.¹ Project staff learned that without leadership to specify measurable objectives and assign appropriate tasks, self-studies will address unanswerable questions and produce inconclusive results.

Launching the Project

Responsibility for conducting individual self-studies was delegated to the respective program directors and staff. Delhi felt the best strategy would be to review a combination of strong and weak programs. The College's administration resisted the impulse to tackle the most troublesome programs first, a tactic they felt would be detrimental to the overall positive image of the project's objectivity. Programs with staff capable of conducting self-studies and with the appropriate attitudes would be reviewed first to pave the way for others. The number of programs to be studied would be limited to 8-10 a year.

In order to guide evaluators and assure that the self-assessment process would be objective and of high quality, an external panel of 3-4 persons was provided for each program undergoing review. A manual containing program review policies, instruments and guidelines was distributed to all involved. A post-evaluation meeting was built into the process to insure that recommendations were used, and annual progress reports and program review updates were planned to coincide with yearly budget preparations.

Results—Planned and Unplanned

Major policy decisions have been made at the highest administrative levels at Delhi based on program reviews begun in 1972:

°Nine academic programs have been suspended, two of which resulted in the termination of faculty.

°Major weaknesses in the management role of academic program coordinators were identified. Beginning with the 1978-79 academic year, their authority increased significantly. The function titles have been reclassified from "coordinator" to "director," and their teaching loads have been reduced accordingly.

°In giving the directors more authority to conduct program planning and evaluation, the role of mid-level division deans in such matters was weakened. However, the deans now have more time available for staff development and supervision.

°As a result of evaluation of the residence hall program, the College Council tightened the structure of student visitation privileges.

A significant offshoot of program review at Delhi was the identification of program interactions both on and off campus. For example, through an induced

Delhi

course load matrix analysis, reviewers discovered that one academic program primarily served students enrolled in other program majors, whereas the department had assumed its primary mission was to teach its own student majors. Evaluation of the Student Health Center program by an external panel has indicated the need to develop closer working relationships with the local hospital staff. Findings were also used in support of a successful budget presentation to the SUNY Central office for a physician's services.

Traumatic discoveries also occurred. The administration believed that a listed program was being offered. Some students were admitted to courses and program statistics were routinely compiled; however, the faculty in effect had discontinued the program four years earlier simply by overlooking it when advising students. The external panel for one program discovered that there was a serious deficiency in modern computer and related machine applications in the curriculum. A grant proposal resulted in the award of \$35,000 by an external funding agency to improve the quality and relevance of the program.

In the area of faculty and staff development, the self-assessment process has increased the level of awareness of educational issues. For several years Delhi has held inservice workshops twice a year, and one of these will be devoted to methods of program evaluation. When those who conducted program reviews reported that travel funds were insufficient for faculty and staff participation in off-campus conferences, workshops and related professional development activities, money was reallocated to provide for this need and staff morale rose.

Budget

Additional resources beyond those normally available to the College were not anticipated in planning an extended self-assessment program. Budget re-allocations were made when cash expenditures were necessary. Less than \$2,000 was allotted specifically for the project.

Conclusion

Delhi staff believe that the results of their program review far outweigh related costs. Improved staff morale, program quality, and strengthening of the College in meeting its mission are only a few of the project's positive results to date.

Delhi's experience shows that several key components are essential for a successful program planning and evaluation system:

°The process needs to be legitimized and made cost-effective through external encouragement and support by accrediting associations, governing boards, and State agencies.

°The process should be incorporated within campus decision-making and reporting structures through development of appropriate policy and procedures and including provision of central coordination and administrative support.

°Expert advice and guidance should be provided at all stages.

° Appropriate instrumentation and timetables should be developed and met.

° Staff should have accessibility to management information in readily usable formats.

° Political, psychological and group decision-making considerations must temper even the most scientifically based planning and evaluation systems.

° Decision-makers and staff should reach prior agreement on self-study results that will prompt follow-through on recommended change.

° External panels should be used to supplement and validate review for each program.

° Agreement should be reached at the conclusion of each self-study about who is responsible for implementation of indicated changes, and a timetable and possible means for their achievement should be specified.

° The problem of organization should be solved by developing a plan for dealing in sequence with the various elements of program planning and evaluation; the scope and nature of leadership and responsibility assigned should match program review requirements and desired results.

And perhaps the most important:

° The President's interest should be explicit, since he is the only person who represents the multiple constituencies of the institution and to whom everyone finally looks for direction and accountability. Ultimately, planning and evaluation are his direct responsibility.

¹ Many evaluators use this pre-assessment to organize their self-study. The system developed by the Cornell Institute for Occupational Education employs this concept: Program Evaluation Portfolio: Reality-Based Evaluation for Post-secondary Programs. (Ithaca, N.Y., 1977).

STATE UNIVERSITY OF NEW YORK COLLEGE AT GENESEO

Student Attitudinal Surveys: Curricular Revision

The SUNY College at Geneseo wished to work as a pilot member in the Self-Assessment Project to explore and improve departmental curricula through a formal program of student feedback from upper level majors and recent graduates. Previous self-studies had focused primarily on process activities and attitudes, but the College recognized the importance of longitudinal studies to discover what happens to its students after graduation. The title of the project was "Departmental Curricular Review Based on Student Outcomes."

In conjunction with a College Goals Study using the Institutional Goals Inventory (Educational Testing Service), Geneseo had learned that 36% of its faculty and 53% of the administrators felt that self-assessment was not receiving enough emphasis. Approximately half of the faculty and nearly three quarters of the administrators felt that the area should be given greater attention.

From its inception, Geneseo had specific long- and short-range goals for its project:

Short range

1. To improve departmental understanding of undergraduate clientele's abilities, expectations, and satisfactions.
2. To enhance departmental morale as a result of better communication between students and faculty.
3. To develop a data base on postgraduate experiences of students and thus be able to respond to "success" inquiries from external agencies.
4. To provide a greater awareness of the realities experienced by graduates.

Long range

1. To increase the retention of majors through an improved curriculum and better advisement.
2. To improve existing courses as a result of specific comments from students.
3. To develop new courses and refine the sequencing of courses as a result of student reactions.
4. To gather suggestions for staffing in the areas of competency desired by students.
5. To provide insight for developing the curriculum for a variety of career options.

6. To formalize a model for departmental curricular review.

The College decided to begin the project by surveying only majors from eight departments. Selection of departments on the basis of size, representativeness and their large proportion of three-year Baccalaureate Degree Program candidates would provide manageability, refinement of techniques and economy. No attempt was made to train faculty and staff in self-assessment techniques. The College hoped that the procedures and results of a successfully "de-bugged" demonstration project would be more readily adopted by faculty at a later point in time. If the project proved successful, other departments might see the value of adopting similar reviews.

The students were to be tested in the beginning of junior year, at the end of senior year, and two years after graduation. This "repeated measure" design would provide an opportunity for longitudinal perspective.

Because of the continuous contact with the same students, in the initial plan each student would first receive an individually typed letter from the Office of Institutional Research inviting him or her to participate. Those who did not respond received a telephone request from the student assistant. In spite of concerted efforts to gain students' participation, the response rate was low and the letter-of-invitation approach was abandoned. Next the College tried distribution of questionnaires by having faculty hand out in class the individually addressed envelopes containing a covering letter from the departmental chairpersons, survey forms and postage return envelopes. This technique elicited an excellent response (57.4%) but took too long to get the questionnaires back. The last and most rewarding effort used resident assistants to distribute and collect the forms from their students. Students not in residence halls were mailed the forms. Data was accumulated rapidly from the 48.7% return.

During the two years of the project, the emphasis was on data collection. Each semester's data was reported to individual chairpersons and then a joint meeting of the group was held to discuss implications. Feedback included departmental statistics, anecdotal comments by students, tabular results of student responses, and a one-page description of each department. A total of four seminar-type meetings were held with chairpersons and Institutional Research staff to discuss results.

Most of Geneseo's expenses were covered by a S-ACU grant of approximately \$4,800. This covered printing, tests, travel and some personnel costs. Several areas of cost were shared by the College. The project was conducted by James L. McNally, Director of Institutional Research, the eight departmental chairpersons, and a student assistant.

The results of the Geneseo study were mixed: the chairpersons were enthused with and receptive to the Project, but student response rates, by department, ranged from 21.4% to 57.4%. Several insights emerged from the data collected:

1. Many of the students in specific programs chose to attend Geneseo

Geneseo

because of the College's three-year baccalaureate degree, so a recommendation was made to the faculty senate to continue this degree option.

2. Students' priorities and perception of faculty priorities are quite similar with the exception of two themes: students expect more help from faculty in clarifying personal goals than they feel faculty are willing to give; and students want more assistance in being prepared for and then obtaining jobs upon graduation than they feel the faculty is willing to offer.

3. Interdisciplinary comparisons reflected some perceived shortcomings in general education (i.e., biology majors felt a deficiency in writing skills; English majors, a lack of appreciation for scientific inquiry).

Other results of this project included, most prominently, the recommendation and implementation of a three-year plan to evaluate all departments by this same procedure - again using as much faculty involvement as possible. The advisability of starting on a small scale and moving to include other departments will be seen as their effort evolves. Convincing faculty of the value and reliability of data is a delicate issue, but one in which Geneseo made positive strides. Although time is always a factor, working slowly in order to nurture this conviction and devoting personal time to explanations can be important to the success of such ventures. The campus's growing interest in self-assessment has also led to the College being accepted as one of fifty colleges to participate in the 1978-79 COMP/ACT* outcomes measurement project supported by the Fund for the Improvement of Postsecondary Education.

*College Outcomes Measures Project/American College Testing Programs

NEW COLLEGE OF HOFSTRA UNIVERSITY

Contract Learning at the Graduate Level

Self-assessment began with the founding of New College in 1959. Because the College offers a non-traditional approach to attainment of a degree, those involved have felt compelled to analyze its programs and processes.

New College has its own full- and part-time faculty, administration, staff, and governance system to establish academic policy consistent with its liberal arts goals. The three "divisions" have programs designed to offer liberal curricula, be interdisciplinary, provide individualized learning modes; and offer individualized curricula:

- 1) Bachelor of Arts Division
- 2) Division of Special Studies
- 3) "External Studies" Programs

In the latter part of 1975, when the S-ACU Project was being proposed, New College submitted a proposal to register a Master of Arts Program (MAP) with SED. The Program was to be part of "External Studies" for capable individuals who could not attend classes regularly but who wanted to pursue topics or themes "through an interdisciplinary, individualized mode of study at the graduate level." The principle mode of learning is contractual: an individual agreement between the student, the proposed faculty supervisor and the Program's Core Faculty (3 faculty, the Dean, MAP Coordinator, and the Assistant to the Coordinator) for a project of intellectual skill and rigor at the graduate level.

New College's proposal recognized the problems inherent in evaluating new programs which utilize new modes of learning. The proposal stated that the New College Educational Research Office would design a plan for its evaluation and begin collecting data on its operation when it commenced. The invitation from SED to participate as an associate college in the S-ACU Project fit perfectly with New College's plans for evaluative research on the MAP; it would add a stimulus to formalize such study.

Setting Initial Goals

The ultimate goal of New College's research was to understand MAP's operations and consequences, both explicit and implicit, and its impact on all participants—students, faculty and administration. The College set its short-range goals:

1. Prepare a full, detailed description of how the MAP operates from the perspectives of participant-observers (for example, a case study of a student's career from faculty, staff and student perspectives).
2. Measure the extent to which the Program meets the expectations of those students and faculty working within it.

Hofstra

3. Analyze the effectiveness of the Program in achieving the variety of educational goals for which it was designed.
4. Compare its overall effectiveness as compared to other modes of graduate education.
5. Analyze its success according to standard measures of accomplishments.
6. Evaluate its administrative efficiency (i.e., cost-benefit analysis).

Project staff recognized there would be some overlap in research designs and procedures for evaluating the six objectives but judged the differences in intent and substance among them to be significant.

Long-range goals:

1. To develop a system of communication between those involved in evaluation and those in decision-making capacities that will assure that research continues and receives proper attention after the formal project ends.
2. To determine which elements of the self-assessment design should be continued, which should be continued if time and money permit, and which should be discontinued as ineffective because they do not provide useful information or are educationally obtrusive.
3. To investigate how the MAP self-assessment can contribute toward that of other New College programs, and perhaps those of Hofstra.
4. To suggest models which should or should not be used at other colleges and universities interested in program evaluation.

Revision of the goals

David Christman, New College's Dean and director of the project, faced the task of designing an experiment in self-assessment for a school which conformed to few if any of the traditional approaches to evaluation. He sought the advice of two consultants for the project: Timothy Lehmann of the Empire State College Research Office, who was recommended by the S-ACU Project staff, and Margaret A. Hofeller, formerly on the New College faculty and presently a social psychologist in Hofstra's College of Liberal Arts and Sciences. Christman revised the initial goals, which were viewed as too ambitious, given the visible limitations of time, money and human resources. The basic change was in the elimination of methodological elaborateness rather than in reducing the overall objectives. Christman noted that the consultants should have been employed much earlier in the assessment than they were—i.e., immediately after the preparation of the proposal. It probably would have saved a significant portion of the time devoted to the project. "Their sense of the New College project's scale and scope was much more astute than the principal investigator's and if their advice (or others') had

been received earlier, time available to the self-assessment project could have been better focused rather than diffused through a diversity of methodologies, techniques and goals."

Design and Methodolgy

In an attempt to make all students, faculty and administration aware of the intent of the project, Christman and his staff used the principle that the innovative, individual contract mode of learning offered in New College's MAP requires evaluative research techniques which are innovative, as well as the honest cooperation of all participants. Evaluators could not compare student grades, common assignments, "normed" exams or other traditional measurements.

Literally all those involved in the MAP participated in the self-assessment project. Numerous instruments (see below) were used throughout the program to gain as much data as possible. Of the 86 students who entered the Program since its inception, 62 were included in the study. The major instruments used to collect data included:

1. Background Questionnaire: administered to new students in the MAP after matriculation. It provides information on demographics and student attitudes. Findings showed, among other things, that 52% of the students had enrolled because of the flexible time schedule, that the majority were first generation graduate students who tended not to be former Hofstra students, and that their ages varied widely (mean: 40.2 years).
2. Contract and Supervisor Evaluation Form: to elicit information from students about the conduct of their learning contract with a particular supervisor. Students were invited to comment on any aspect of the Program. The majority of the faculty supervisors, who are also full-time members of the Hofstra New College staff, were given high ratings and viewed by students as highly committed to their education in this mode.
3. Contract Supervisor Questionnaire: to elicit information from faculty about the amount of time spent, the ways in which the student's learning was assessed, kinds of educational modes and techniques employed, the level of satisfaction the supervisor had with the experience, and suggestions that he might have for others. Findings show that the time spent by supervisors on each contract was extraordinarily close to the time projected at the start of the MAP—approximately 30 hours per contract.
4. Supervisor's Evaluation of Student: scaled responses are requested about the student's academic conduct and capability. The majority of students were found to be highly motivated and knowledgeable. There was agreement that more focus should be placed on developing basic research skills.

Several other instruments were designed to accomplish the previously mentioned goals, but have not been used long enough to yield much data:

5. Admissions Questionnaire: keyed into the Program Exit Questionnaire to assist with the "ongoing" evaluation. It includes such topics as educational

Hofstra

goals, expectations from the program, reasons for applying, and, to be completed upon graduation, an evaluation of the educational experience.

6. New College Alumni Questionnaire: to determine the acceptability of student's nontraditional degrees to other educational institutions and the negotiability of their degrees in the world of work.

7. Hofstra University Administrators' Perceptions of the New College Master of Arts Program.

Changes in Methodology

New College had originally planned to request its students to keep journals, which would then be synthesized into a record of how the MAP operates from the perspectives of these participant-observers. The Program Coordinator suggested to the consultants that, to avoid unnecessary delay, a member of the faculty serve as the case-study author, gathering information through interviews with the participant-observers.

One adjustment was due to the small number of graduates of the MAP to date. Existing Questionnaires would not be statistically significant. Instead, the Assistant to the Program Coordinator is making simple mathematical compilations of these data annually.

Several other changes were made to achieve some concrete results by the end of the two-year S-ACU Project. However, many of the long- and short-range goals that were preliminary or uncompleted within that period were integrated into New College's plan for continuous assessment.

Overcoming Obstacles:

Unlike some of the more traditional colleges in the S-ACU Project, New College met no resistance from administration or faculty, nor did internal politics cause any difficulty. The major problem was a lack of personnel. Project staff had other full-time responsibilities that often interfered with the fluidity of the work. Had the College received funding for faculty release time or for a research associate and consultants, the project would have moved ahead without interruption.

De facto changes resulting from consultants' suggestions, unexpected complexity in analyzing data, and a continuous flow of ideas from those involved in the project required that staff remain flexible.

The project timetable was constantly being revised due to the changes made throughout the study (Exhibit 4, p. 57).

Budget

New College assumed the major costs of its project. The cash outlay of approximately \$3579 included \$600 from the S-ACU Project office for consultants' services (Exhibit 5, p. 58), to which must be added 1348 total person hours (Exhibit

6, p. 58) up to April of 1978. Project staff did not find it necessary to use the University computer facility, although it was available.

Results to Date

Because the MAP was relatively new when self-assessment began and the College was accustomed to encouraging appropriate change, findings were quickly reflected in program reforms and modifications. Changes appeared in:

1. Admissions Standards and Procedures. Because no prototype existed for a MAP similar to New College's, standards and procedures had been "experimental" in the sense of their needing constant observation, validation and review. As a result of the project, standards were refined. Because of the perceived need for students to have above average writing and research skills, a writing sample became an optional requirement during the admissions process.

2. Initial Study Length and Conduct. The initial Study series of seminar sessions for entering students, the only formal group experience in addition to the Collegia meetings of all who are involved in the MAP, was extended from 8 weeks to a minimum of 12 weeks, with additional time available to individual students needing time for conferences.

3. Component Time Length. Through advisement, students are now counseled more effectively about the nature of their commitment in the study components—the time and effort needed to complete program expectations and standards. Consequently, estimated component length is taken more seriously.

4. Faculty Supervisor Information. Information on students and the scope of the MAP for faculty has been significantly augmented both in breadth and the timing of its generation.

5. Core Faculty Consciousness of Responsibilities. The external stimulus of the project has increased the Core Faculty's consciousness of necessary standards and expectations.

6. Increase in Administrative Efficiency. The maintenance and analysis of administrative time journals allowed the Coordinator and his Assistant to recognize responsibilities which were taking disproportionate percentages of time. In many cases, they found more efficient and effective ways of completing particular tasks.

Conclusion

Although the exact nature of the continuance of New College's self-assessment of the Master of Arts Program has not been determined, most of the instruments and procedures developed will be used to build a longitudinal database.

Students and faculty have shown a strong interest in continuing the project and have given it a high priority—three Collegia events on self-assessment have been held. The Core Faculty is pleased with information and perceptions generated through the project.

Hofstra

As a result of experience in the self-assessment project, some changes have been made in the New College administrative structure. The Assistant to the Coordinator of the University Without Walls program has been assigned responsibility for the College's institutional Research. The College has also hired a part-time Research Associate. While this approach will not provide all the time and resources necessary for all forms of projected self-assessment at New College, it is a start.

Exhibit 4

New College's Timetables for Self-Assessment

The first schedule for self-assessment of the Master of Arts Program was in the original proposal to SED in the fall of 1976. As a result of the principal investigator's advice from external consultants during the late summer of 1977, the research calendar was reformed around a reduced research design.

Fall 1976 - proposal of research design and draft of procedures and instruments for data collection.

Spring 1977 - specification and use of research of the 6 self-assessment objectives; evaluation of their effectiveness.

Summer - analysis of data collected in 1976-77; review of 6 objectives.

1977-78 - ongoing collection, analysis and presentation of data; evaluation of MAP and evaluation of its self-assessment system.

Revised Schedule

September 1977 - informational meetings with faculty and students; revision of data instruments and MAP forms; case study project planned.

October - coding of responses and analysis of data; begin case study interviews and decide on techniques to analyze them; begin analysis of revised Supervisor (fieldwork) Questionnaires.

November - continue case study interviews and complete initial data analysis; revise Exit and Graduation questionnaires.

December - begin administrative cost analysis.

January 1978 - Meeting with internal and external research consultants; informal meeting with faculty and students about research progress.

February - continue case study interviews and data analysis; revise Contract and Supervisor Evaluation forms on the basis of findings; administer Instant Feedback Questionnaire, including case study students.

March - complete administrative cost analysis; begin written report of Research findings.

April - develop external assessment of student learning.

May - Pre-test external assessment; meet with internal and external research consultants.

June - administer external assessment of student learning; plan 1978-79 research.

July - complete data analysis

August - complete written report; approve 1978-79 research plan.

Exhibit 5

Budget: An Outline of Direct Costs (1976-77/1977-78)

Internal Faculty Consultant	\$1200
External Consultant Fees	300
Travel and Expenses	250
New College Research Associate	300
Travel and Expenses for Conferences, Workshops	1029
Supplies and Expense	500
Total	\$3579

Exhibit 6

Human Costs: 1976-77/1977-78
(not directly compensated or released)

This account of noncompensated "human costs" is estimated for the period beginning August 1, 1976 and ending on April 1, 1978. It does not include time for the preparation of the final report, nor time committed to action based upon self-assessment findings.

	<u>Total Hours</u>
Principal Investigator	382
Assistant to the Coordinator	149
Clerical	120
Core Faculty (as a group)	40
Student Time (estimate of total)	408
Supervisor Time (estimate of total)	75
Total	1174

POLYTECHNIC INSTITUTE OF NEW YORK

Graduate Study of Engineering for Industrial Needs

The concern expressed by industrial managers that M.S. and Ph.D. engineering graduates were unprepared for the industrial world and that graduate engineering programs were devoid of practical applications prompted the Polytechnic Institute of New York (PINY) to review the results of its programs. Anthony B. Giordano, Dean of Graduate Studies, studied the question of "How Relevant is Graduate Engineering Education to Industrial Needs" for PINY's project as an associate college. As a member of the S-ACU Task Force, he participated actively in all of its meetings.

Several events at PINY made it fertile ground for a major undertaking in self-assessment. A merger in 1973 of the Polytechnic Institute of Brooklyn and the New York University School of Engineering and Science to form PINY led to the consolidation of two faculties, existing programs, and student bodies. Three years later it was propitious to consider whether new program directions were preparing graduates for successful careers. Associations such as the National Board of Graduate Education and the Engineering Council for Professional Development required and encouraged self-evaluations. PINY had conducted numerous undergraduate and doctoral program studies, but none were of the "value-added" type which involved a survey of graduates. Because past assessments had produced program consolidations and improved decision-making procedures, the self-assessment precedent had left a good impression.

The idea for the project indicated two major objectives: administer a specially designed questionnaire to alumni to determine to what extent PINY prepared them for a career in industry, and create a national forum with other schools of engineering to exchange views on the subject as well as to explore methods for improving cooperation and communication between colleges and industry.

The Annual Conference of the American Society for Engineering Education (ASEE) was chosen as the national forum, and goals were formed for 1977 and 1978. A national committee was planned to encourage engineering schools' self-assessment of their relations with industry as a continuous effort.

During the 1976-77 academic year, the timetable was built around the Polytechnic Commencement which provided the initial list of graduate students for the questionnaire and the date set for organizing and moderating a session on "How Relevant is Graduate Engineering Education to Industrial Needs" at the annual conference of the ASEE. PINY found that having a set timetable for mailing, receiving and pursuing responses to the questionnaire assured their readiness for a report of findings to the 1978 ASEE Conference.

With the help of a Steering Committee which included Giordano as Project Director, two department heads, two graduate advisors and two graduate students, the major objectives were met over the two-year period. Giordano also organized an External Steering Committee made up of colleagues from three large companies and three major universities. They served to react to proposed procedures and to assist in formulating a questionnaire.

Polytechnic

The questionnaire went through two draft forms before the final, one-sheet version was approved by the External Committee and a poll of graduate advisors (See Exhibit 7, p. 61-62). Attention focused on the methodology of evaluating the responses in order to extract meaningful results. It became apparent that the questionnaire should emphasize a list of educational endeavors rated according to:

1. How important was this endeavor for achieving a successful career?
2. How effective was this endeavor at the Polytechnic? Responses would then provide a measure of expectation on the part of the student which could be compared to value received. The gap between expectation and value received would be a measure of the effectiveness of the program in achieving a successful career.

To test the questionnaire and to create a data base for recent graduates, the questionnaire was first mailed to part-time graduate students employed in industry who graduated in June 1977 with advanced degrees. The second mailing, to alumni who received advanced degrees within five previous years, went out as scheduled in November 1977. Response rates varied from 15% to 28%. Some cultivation would be necessary in the future to convince graduates of the importance of their feedback. Ernest Palola, a member of the S-ACU National Advisory Council, consulted with PINY about getting additional responses and about simplifying the questionnaire. The methodology of the questionnaire seemed very effective.

Graduates who did respond to the questionnaire felt that more practical applications of their studies needed to be included in the curriculum. They also indicated that faculty should be in close touch with the state-of-the-art in the application of engineering knowledge if not directly employed by industry.

The participants at both national forums responded favorably to the "Relevance of Engineering" sessions. Papers were prepared and presented in brochures for those who participated.

The budget for the two-year, self-assessment project at PINY, which included consultants, travel, release time for the project director and Steering Committee, and costs associated with the questionnaire was \$11,000. While Giordano is a member of the S-ACU Task Force on Self-Assessment and PINY is an associate college in the Project, no funding was requested from the S-ACU office. All resources of the Institute were made available for the project, and the total budget for direct costs was not exceeded.

Results of PINY's project included acceptance of a regular data-collecting process by department heads which is modeled on the above procedures. Giordano feels that keeping information which is collected within departments confidential is crucial to continuance of the process. The role of the director is felt to be critical: he/she should be a trusted, dedicated and respected leader.

EXHIBIT 7

Polytechnic Institute of New York School of Graduate Studies Questionnaire:

HOW RELEVANT IS GRADUATE ENGINEERING EDUCATION TO INDUSTRIAL NEEDS?

Please complete this questionnaire and kindly return to Anthony B. Giordano, Dean of Graduate Studies, Polytechnic Institute of New York, 333 Jay Street, Brooklyn, NY 11201, by November 21, 1977. Your name is not requested. Your cooperation is greatly appreciated. Thank you.

Kindly enter below the advanced engineering degree(s) earned at the Polytechnic:

M.S. in _____ Date: _____
Engineer in _____ Date: _____
Ph.D. in _____ Date: _____

A. Kindly rate the following educational endeavors using the number scale shown below:

Low Rating $\longrightarrow$ 0, 1, 2, 3, 4 $\longleftarrow$ High Rating

Educational Endeavor	How Important Is This Endeavor For Achieving A Successful Career?	How Effective Was This Endeavor At The Polytechnic?
	(Kindly Rate Below) 0 $\longrightarrow$ 4	(Kindly Rate Below) 0 $\longrightarrow$ 4
1. The Master's Degree	_____	_____
2. The Engineer's Degree	_____	_____
3. Certificate Programs	_____	_____
4. The Ph.D. Degree	_____	_____
5. Mid-Career Courses	_____	_____
6. Quality of Faculty teaching	_____	_____
7. Faculty advising and supervision	_____	_____
8. Emphasis on required core courses	_____	_____
9. Emphasis on theoretical courses	_____	_____
10. Emphasis on applied courses	_____	_____
11. Emphasis on design projects	_____	_____
12. Emphasis on real life engineering problems	_____	_____
13. Teaching of computer skills	_____	_____
14. Teaching of interpersonal skills	_____	_____
15. Teaching of business functions	_____	_____
16. Teaching of societal problems	_____	_____
17. Foreign language requirement	_____	_____
18. Emphasis on classroom examinations	_____	_____
19. Emphasis on take home examinations	_____	_____
20. Emphasis on fine faculty attitudes and understanding	_____	_____
21. Career guidance and counseling	_____	_____
22. Ph.D. qualifying examinations (if applies)	_____	_____
23. M.S. comprehensive examinations (if applies)	_____	_____
24. Seminars	_____	_____
25. Emphasis on high scholastic standards	_____	_____
26. (Other) _____	_____	_____
27. (Other) _____	_____	_____
28. (Other) _____	_____	_____
29. (Other) _____	_____	_____
30. (Other) _____	_____	_____

B. Kindly answer the following questions as thoroughly as possible. (Optional)

- Do you have direct comments about specific courses pursued?

(Over Please)

2. Do you have specific comments about members of the faculty with whom you were involved?
3. What specific recommendations would you make for improving your graduate engineering education that could have better served your industrial needs?
4. Do you have any ideas for generating rapid feedback from industry to schools with respect to changing needs?
5. What do you think your company should be doing to advance your career objectives?

C. What type of work are you engaged in? Please check as many as appropriate.

- | | |
|---|---|
| ☐ Technical supervision and administration | ☐ Design and development |
| ☐ Proposals | ☐ Testing |
| ☐ System Planning | ☐ Theoretical analysis |
| ☐ Production | ☐ Basic research |
| ☐ Sales | ☐ Other (please specify) _____ |

D. How would you rate the following conditions as related to your present employment?

Please insert in the spaces below:

H for highly satisfactory
S for satisfactory
U for unsatisfactory

- | | |
|---|--|
| ☐ opportunity for professional growth | ☐ interesting and challenging work |
| ☐ level of responsibility | ☐ salary |
| ☐ attitude of immediate supervisor | ☐ opportunity for advancement |
| ☐ physical working conditions | ☐ fringe benefits |
| ☐ tuition grants for graduate study | ☐ in-plant technical seminars or courses |
| ☐ released time for keeping up to date | ☐ company's attitude towards advanced degrees |

PLEASE MAIL PROMPTLY; MANY THANKS



JOHN JAY COLLEGE OF CRIMINAL JUSTICE

An Appraisal of Criminal Justice Education

John Jay entitled a summary of findings from one phase of its exploratory research, "Criminal Justice Education: The End of the Beginning." Staff had recognized that their field was entering a new and critical period of development and, as a leader in criminal justice education, sought the necessary data to help guide its growth. This was one of the major reasons the College launched an intensive self-study in 1975.

Another reason for self study was the administrator's hope of resolving a controversy over the College's mission that had developed under a series of external pressures: rapid growth caused by City University's 1970 policy of open enrollment, New York City's financial crisis and imposition of tuition on CUNY students, and a cessation in veterans benefits to a sizeable proportion of the College's students. One faction believed that John Jay should become a comprehensive liberal arts institution with a special interest in criminal justice. Others felt John Jay should focus its efforts on professional programs. In addition, the College was disturbed by a gap which was developing between criminal justice education and the agencies within the criminal justice system due to its preoccupation with growth and internal problems.

The project's short-term goal was to assess the adequacy of the College's curricula for its students' preparation to participate effectively in the "real" world of the criminal justice profession. This goal was underwritten by a Federal grant from the Advanced Institutional Development Program (AIDP) of the United States Office of Education. Ultimately, John Jay would establish criteria and institutionalize procedures to evaluate its programs, identify those aspects of its curriculum that would most profit from an intensive period of development, and broaden the constituency involved in campus decision-making.

Project Overview

From its study, John Jay hoped to establish a curriculum which would help maintain the College's highly respected position in the field of criminal justice education. Three models are presently in use in that area:

1. Professional-managerial: stresses management skills needed by senior agency administrators and is generally offered in a business administration context, which tends to emphasize social science and humanities courses.
2. Technical-vocational: emphasizes development of competency in the specific skills deemed essential for criminal justice practitioners.
3. Humanistic-social: attempts to develop the "whole person," so to better understand the problems of society and the milieu in which they are prevalent. This sort of program tends to de-emphasize the development of specific skills.

John Jay

John Jay currently has four undergraduate professional programs that lead to a career in criminal justice: Police Science, Criminal Justice, Criminal Justice Planning, and Corrections Administration. The College believes the best way to analyze the programs' current status and plan for future development would be to see how it was viewed by those crucial to the School's development: faculty and administrators, students and alumni, various criminal justice agencies that employ Jay's graduates and many current students, peers in higher education across the country as represented by individuals at other institutions who are concerned with developing and administering similar programs, and the general public.

At the outset, those planning the project discovered the familiar suspicion of evaluators felt by administrators and faculty. This required that sponsors of the project take care to include representatives from both groups as researchers. This same concern led to the establishment of two committees: an Agency Liaison Committee to deal with how the College might respond to agency concerns and an Institutional Development Committee to confront issues of curricular restructuring. To facilitate its self-study, the college used a three-tiered approach: first, deal with issues having immediate and direct effect on the College—strengthen existing courses and programs; then consider matters of short-range effect (2-3 years later)—general guidelines for redesigning programs; and finally, concerns in the form of a long-range planning document for possible new programs of study.

Research

The initial phase of the research called for contacting and requesting client groups to voice their opinions about the nature of criminal justice education, about present and future needs and directions of the agencies, or about the program, services and facilities of the College itself. In working with agency leaders, project staff assured them that all information would be confidential and findings would be available for their use. These inducements seemed to bring active interest in the project.

For four of the groups, the College developed questionnaires which basically were the same, but each was tailored to focus on special interests. Students were asked to evaluate how the program affected their personal growth and career development. Faculty and administrators were asked for their perceptions and evaluations of the program, resources, and facilities of the College. Criminal justice agency personnel were requested to evaluate the relevance of the present baccalaureate programs to particular needs of their agencies. Peers from other criminal justice programs and professionals in the field were visited by project staff and, on the basis of the data gathered during these visits, a structured questionnaire was created. These were the same instruments to which members of the John Jay faculty were replying. Another situation was thereby presented in which the perceptions of those associated with the College could be compared with individuals from other institutions. The last group, the general public, was asked to assess the extent to which the College's programs were relevant to community needs.

Each stage of the data collection process was carefully planned to coordinate views of all the respondents. In order to standardize the process, an iterative technique sought opinions first from the leadership and then from the lower

echelons of each participating group. Once collected, the data were prepared for computer analysis. Information ranged from the general overviews offered by agency and academic leadership to the specifics presented by criminal justice practitioners, professors, students and the public.

Budget

The project of which this research was a part operated on a budget of \$280,000 over two and one-half years. The research element alone cost an estimated \$150,000 of this total. Indirect costs are not included.

Findings

1. Contrary to prior expectation, vocationalism is on the wane and a strong trend toward academic education seems to be firmly established, one that may dominate the further development of the field for the next five to ten years.

2. Personally and as representatives of their departments, respondents to the structured questionnaire overwhelmingly supported the humanistic-social philosophy and favored interdisciplinary programs which retain a criminal justice emphasis. Among those institutions selected for in-depth study, the philosophy divided more evenly between humanistic-social and professional-managerial.

3. A national professoriate is working in the field of criminal justice education and apparently has already played a strategic role in accelerating the emphasis on academic education.

4. Faculty possessing both advanced academic degrees and criminal justice agency experience appear to be preferred. Though the investigators assumed that emphases within this "ideal" would vary according to educational philosophy, such has not been found, only that the "ideal" type is being achieved to a considerable degree, at least above the community college level. This is confirmed by the Misner follow-up report. Respondents predict an increased emphasis on doctoral degrees for instructors (above the two-year level) as well as on agency experience (especially at the two-year schools).

5. While a sizeable number of those responding to the structured questionnaire report some research activity, findings show that criminal justice faculty are more strongly oriented toward teaching than research at the present time. Opinions elicited in the Misner study, however, view research as important to excellence in criminal justice education and foresee an increased commitment to it within programs above the associate degree level.

6. The large majority of those responding to the structured questionnaire support such endeavors as internships for preservice students, collegiate criminal justice education for entry-level practitioners, management education for in-service supervisors, general higher education for all students, and respondents to the Misner's follow-up survey confirmed approval of internships and the continuation of professionally oriented education. Respondents to the in-depth interviews,

John Jay

however, report the existence of only limited internship programs, informal placement procedures, and little encouragement for students to pursue graduate study.

7. Criminal justice programs of the future would be useful for at least two kinds of students. One is part of the initial target population of in-service students who have already completed programs at the baccalaureate level. Perhaps the 15% of these students who would pursue advanced professional education at the graduate level constitute a potential leadership group for the criminal justice agencies and include individuals for whom college teaching and scholarship would be a logical career. A second source of potential students is the much larger number who will be graduating from high school and who are interested in beginning careers in criminal justice. The heterogeneity of this large group presents difficult and complex problems which must be solved because of their importance for the future professionalism of the field.

8. Respondents to the structured questionnaire overwhelmingly favored continuing, formal liaisons with criminal justice agencies, periodic exchange of personnel to improve both education and training, and the combined use of agency experts and college faculty for in-service training. The Misner follow-up survey found relationships with agencies and professional field organizations to be more important than those with their colleagues in the arts and sciences. The in-depth interviews, however, indicated that communications with the agencies are informal at best, and that neither the colleges nor the agencies draw upon each other's resources to any significant degree.

9. The agencies are interested in both liberal arts and professional education, with somewhat greater emphasis on the former. They are not interested in narrow technical education.

10. There is a conflict between John Jay's faculty and its younger, pre-service students. The faculty give greater weight to the liberal arts, while the students stress immediate preparation for careers in the field. The alumni tend to fall between these two positions.

Results

The findings showed both concurrence and disagreement among the various types of respondents regarding criminal justice education in general and John Jay's curricula in particular. Undergraduates, alumni, faculty, and in-service personnel generally concurred that there should be a meaningful liaison between public agencies and the world of academe, a relationship beneficial to both parties. There was also agreement that student internship and volunteer programs in criminal justice agencies were valuable in promoting a realistic view of the profession. However, wide disagreement was evident on the importance of a multi-disciplinary approach to criminal justice programs. While faculty and criminal institutions strongly preferred the humanistic-social curricular approach, undergraduates and, to a lesser extent, alumni felt that the professional-managerial approach should be emphasized.

¹This point was made by several authors and is illustrated by James S. Breedlove's article, "Theory Development as a Task for the Evaluation." (In Mullen, Edward J. and other. Evaluation of Social Intervention. 1st ed. San Francisco: Jossey-Bass, 1972, pp. 55-77) and Jack Rothmans Planning and Organizing Social Change: Action Principles from Social Science Research (New York: Columbia University Press, 1974, 628 p.)

²Coates, Robert D., and Alden D. Miller. "Evaluating Large Scale Social Service Systems in Changing Environments: The Case of Correctional Services." Journal of Research in Crime and Delinquency, 12: 92-106, 1975.

³This report by the Chairman of the Advisory Committee of the Academy of Criminal Justice Services, Gordon E. Misner, was a check on the findings of the John Jay project and will appear in "The End of the Beginning," the forthcoming report of the project to be published by the John Jay Press.

MARYMOUNT MANHATTAN COLLEGE

A Study of Part-Time Students

In 1971 Marymount Manhattan College had 692 full-time and 176 part-time students. By 1976, 1225 of its 1852 students were part time. Although the College had engaged in numerous isolated self-assessment activities during this period, none had specifically considered this increasingly significant portion of its student body, nor had any study focused on or yielded data on educational outcomes. As a pilot member of the S-ACU Project, Marymount Manhattan examined the College's influence on this segment of its student population and executed a broad analysis of the overall systems of self-assessment being developed there. The first and smaller project was to highlight the need for such studies and prove that fruitful research can easily evoke necessary policy changes.

Proposed Goals

Within the two-year grant period, Marymount Manhattan hoped to:

- 1) develop a tool to complete its part-time student study and use it in future efforts,
- 2) integrate findings and recommendations into the planning and decision-making process of the College, and
- 3) review current data collection methods and use of the data in decision-making.

Long-range plans included:

- 1) developing systematic, continuous self-assessment techniques for measuring student achievement of specified educational goals of the College,
- 2) sensitizing students, administrators and trustees to the need for the techniques of self-assessment,
- 3) strengthening internal evaluation procedures, and
- 4) developing a system for the improvement of data collection and its use in planning and decision-making.

Climate on Campus

The dramatic change in the College population favored a project that would focus on part-time students. At about the same time the S-ACU project was proposed to study these students, the College developed a proposal to design and implement an institutional management information system (MIS) which included a planning, management and evaluation (PME) system. This proposal, subsequently funded under a Title III Advanced Institutional Development Grant, supported the long-range plans outlined in the S-ACU Project.

An inventory of previous studies revealed that much of the information they produced was not always readily available and useful for planning purposes. The lack of systematic methods of institutional self-assessment made the S-ACU Project even more welcome.

Redefining the Original Goals

The preliminary studies for the project helped those involved realize that its focus should include not only the impact of the College on part-time students, but also the relationship of these students to the College. Staff hoped to answer questions such as the following regarding the part-time student:

- °How is teacher and program effectiveness to be evaluated?
- °Has the Marymount Manhattan educational experience made any difference in his or her life?
- °Does the College change its approach when dealing with him or her?
- °Does the College pursue its goals any differently in its educational services for part-time students than for full-time students?
- °Is promotional literature realistic and relevant?
- °Is the College effective in identifying and meeting students' particular needs?

Project Design

Marymount's Outcomes Project originated from the President and her Administrative Council. Rita Arthur, Assistant to the President and director of planning and research activities, was appointed its coordinator. A Long-Range Planning Committee of students, faculty and administrators was also assigned to participate in the design and implementation of the S-ACU Project. Mona Cutola, Assistant Professor of Sociology and Urban Studies, was recruited to design and administer the appropriate self-assessment tool and complete an analysis of the findings.

The original plan was to conduct a mail questionnaire survey of all part-time students who had graduated from the College from 1973 through 1976 (approximately 700). For purposes of comparison, the same questionnaire was to be used to obtain information from a sample group of currently enrolled part-time students. When the project expanded to include the relationship of the College to its part-time students, it was redesigned to include case-study interviews with 13 members of the faculty and staff and an equal number of students and/or alumni. Ernest Palola of the S-ACU National Advisory Council encouraged the selection and design of this case-study method, having used a similar technique for an outcomes study at SUNY's Empire State College.

Marymount Manhattan

Organizing a Timetable

Marymount Manhattan staff felt the best way to achieve both short- and long-range goals would be to establish and follow a set timetable:

<u>Fall 1976</u>	Preliminary Planning; develop first stage of research design; develop inventory of self-assessment efforts at Marymount Manhattan from 1971 to 1976.
<u>January 1977</u>	Define concepts to be measured; set research design and instrument; identify target group of students.
<u>February-June</u>	Commence research project.
<u>Summer</u>	Correlate and analyze data; submit recommendations for action to appropriate policy-making bodies.
<u>September-October</u>	Review and analysis and recommendations with appropriate college groups.
<u>January 1978</u>	Incorporate appropriate recommendations into update of long-range operational plan for 1978-1984.
<u>Spring</u>	Assess current data collection methods and need for improved data for institutional planning; submit recommendations for modification.
<u>June 1978</u>	Review recommendations of data needs analysis; develop summary report of self-assessment project; establish objectives for PME activities for 1978-1981.

Budget

Marymount received a total of \$7851 under the FIPSE grant for its project. The College contributed \$3,000 each year for the salary of Sr. Arthur, as well as other direct and indirect costs related to the project. (Exhibit 8, p. 73)

Results of Part-Time Student Study

The study of part-time students showed that:

- ° Students had very positive feelings about the College and the role it played in their lives. They did not feel, however, that academic advisement was easily accessible to them.
- ° Part-time faculty, who frequently have the greatest contact with part-time students, often operated outside the mainstream of the Faculty Council and the College in general.
- ° There should be more interaction between faculty teaching in the evening session and their students.

Marymount Manhattan

This information was shared with key administrators, the Long Range Planning Committee and faculty. It was also channeled directly to the Advisement Office to create a structure for evening student advisement.

As a result, adjustments were made in planning for 1978-79:

- One faculty meeting each semester is now held in the evening.
- The Advisement Office sets aside one week during each semester's advisement period for special advisement of evening students.
- Faculty teaching in the evening are encouraged to become more available to evening students for advisement.
- Part-time faculty are increasingly being integrated into their academic departments and into the College as a whole.

Results of Long-Range Efforts

Long-range planning efforts during the period of the S-ACU Project were enhanced by the initial steps taken to implement the MIS and PME systems. A staff assistant appointed in the spring of 1978 to coordinate PME development conducted a study to attempt to identify people's perceived information needs. The diversity of suggested institutional research studies indicates a need for self-assessment at all levels. Included are:

- °Tracking "provisional students.
- °Evaluation of student recruitment process.
- °Trends in distribution of students by major and level.
- °Cost-benefit studies of College operation units.
- °Assessment of personnel policies and practices.
- °Needs assessment of non-credit students.

To determine which issues should receive priority attention, in 1978-79 the College will first identify what purpose each study should serve and what benefit would be derived.

In spring 1978 steps were also taken to improve methods of data collection in every area of the College. This process has resulted in a greater awareness of the need for uniformity in data collection and for useful data in decision-making.

Conclusion

Marymount Manhattan's self-assessment served as a valuable educational experience for faculty, students and administrators and provided a transition to further self-assessment efforts. The need to link institutional self-assessment to

Marymount Manhattan

the College's planning process was reinforced. To help achieve this, a new staff person was added to the office of the Assistant to the President in the spring of 1978 for the primary purpose of developing a systematized process of planning, management and evaluation. This process, accompanied by the development of a management information system, is due for completion by June 1981 and will result in a more effective use of data for decision-making within the College. Faculty and staff will thus have the benefit of learning to identify and locate necessary data and assistance and training in linking this information to their respective programs and areas of responsibility.

Exhibit 8

Costs of Assessing Part-Time Students' Experience at
Marymount Manhattan College

	<u>FIPSE</u>	<u>MMC</u>	<u>TOTAL</u>
<u>Salaries</u>			
Project Coordinator	-	\$6000	\$6000
Researcher/Systems Analyst	\$1000	-	1000
Secretarial Service	-	1500	1500
Student Help	1300	-	1300
<u>Travel/Workshops</u>			
S-ACU Conferences and Workshops	1050	-	1050
NCHEMS - Workshops on Educational Outcomes	220	-	220
National Association of Institutional Research Annual Meeting	260	300	560
Planning Workshops for MMC Faculty & Staff	800	700	1500
<u>Consultants</u>			
Staff and Management Consultants	1000	600	1600
Betts/Allard Associates	800	1200	2
William Dempsey	200	-	200
<u>Operational Costs</u>			
Supplies and Expenses	770	500	1270
Printing/Duplicating	450	130	580
<u>TOTALS</u>	\$7,850	\$10,930	\$18,780

STATE UNIVERSITY OF NEW YORK AT BINGHAMTON

Conditions for Learning

SUNY Binghamton's experience with self-assessment goes back a decade: during this time it has concentrated on the evaluation of the quality, effectiveness and costs of programs. Most studies were done by ad hoc committees - often by willing staff and faculty members with little formal training in evaluation. Thorough studies were endorsed by the administration, but due in part to the linking of assessments with retrenchment, faculty were skeptical about the validity and objectivity of such efforts.

When Binghamton joined the S-ACU Project as a pilot college in fall 1976, it set short-term goals for the two-year period of funding and long-range goals to continue the self-assessment after the formal project terminated. Short-term goals included:

1. Designing and testing an attrition instrument which would give the University information on students who tend to leave early and identify specific components of the college process that may affect students' decisions to persist or withdraw before graduation.
2. Designing and testing a battery of instruments to:
 - a. assess students' expectations and compare perceived achievements and satisfactions to data collected during college, at graduation, and at two later dates;
 - b. provide faculty and departments with a better understanding of their students by supplying a profile of the general student population and, more specifically, those students entering their departments;
 - c. relate reported college activities (both academic and extra-curricular) to students' reported career development and experiences in graduate and professional schools at the two points in time following graduation or withdrawal from the university.

Long-range goals included:

1. The appointment of a Coordinator of Academic Evaluation responsible for all self-assessment activities on campus and a Steering Committee to coordinate diagnostic efforts on campus.
2. The adoption of a longitudinal design and instruments for evaluation that would enable the University to build a data bank comprehensive enough to provide data on the entire student population as well as on specific sub-groups.

During the first year of Binghamton's involvement in S-ACU, a trusted colleague of the faculty was appointed Coordinator of Academic Evaluation. The Office has been successful in bringing direction and focus to the self-assessment programs on the Binghamton campus, and has done much to break down faculty

resistance and earn the project campus-wide acceptance. The Coordinator of Academic Evaluation has worked closely with the Office of the Assistant Vice President for Planning throughout the project to assure that evaluation and budgetary processes are linked directly. This was deemed important because Binghamton decided that if evaluation is to lead to real action and change, it must have support from the highest levels and must be linked to budget review and long-range planning. A Steering Committee was appointed during the second year of the project.

Part of the learning process that those involved in self-assessment at Binghamton underwent during the two years was the realistic setting of goals. Their initial goals were found to be too broad and diffuse to permit a clear focus on building models of evaluation, testing these models, and adopting them. They realized that an assessment project must be clearly focused, must give the campus data on which decisions about programs can be made, and must be capable of implementation within a reasonable period of time. With this in mind, the College revised its original goals according to recognized campus priorities to include objectives that could be realized within the Guidelines of the S-ACU Project.

Rosemarie T. Morewedge, chairperson of the German Department, former Acting Associate Dean for Academic Affairs, and the University's representative on the Statewide Task Force for Self-Assessment, and James Scheirer, former Coordinator of Academic Evaluation, both devoted a great amount of time and energy to the S-ACU project. The Steering Committee, the Office of Institutional Research, a monitoring center, the Center for Social Analysis, and administrators, faculty and student leaders also contributed to the project's success, as did the advice and suggestions of the S-ACU-appointed consultant. Because of the importance of campus-wide involvement, a workshop was scheduled on campus in the spring of 1977 to familiarize faculty, students and staff with the program's goals and to enable those who would have to make policy decisions to proceed with as much shared knowledge as possible. The College called in three consultants: Charles W. Meinert from the SED's liaison staff for the S-ACU project, Ernest Palola from the project's National Advisory Council, and Joseph Katz from SUNY at Stony Brook to supervise the two-day workshop.

Binghamton discovered that it could not adopt ready-made instruments or tests to collect the specific data it wanted. The ACE instrument, for instance, was useful in obtaining a demographic profile of entering students but not helpful in learning about student expectations regarding academic outcomes and learning preferences. Longitudinal study instruments developed by other colleges were tailored to their particular needs, and not Binghamton's. The evaluators therefore decided to design their own instruments even though the work was extensive, time-consuming and caused some delays in the project.

A grant of \$5,292 for Binghamton's use as a pilot in the S-ACU Project was used as seed money and needed to be matched with larger university resources of personnel, time, space, equipment and materials. S-ACU funding was insufficient to permit the project director to buy all of the released time necessary to devote to the project. Consequently, it was not possible to complete the design of the instruments which are expected to give instructors a better picture of student expectations and their own instructional effectiveness in responding to those

Binghamton

expectations. The University hopes that the total design for the longitudinal study will be completed in the near future. Regular five-year evaluations of the undergraduate program mandated by SUNY Central will also benefit greatly from the assessment capacity obtained from this project.

Facilities needed for the project were those generally found at university campuses: studies by the Institutional Research Office, computer time, key operators, offices for graduate students and general office equipment. Literature on self-assessment was made available in a special reading room, and interested faculty and program evaluation staff have found it helpful as Binghamton's self-assessments progress.

Binghamton has achieved a number of positive results in the S-ACU project. A long-range plan for establishing a data bank on campus into which all offices dealing with student affairs will feed data has been developed. This program is possible because of the installation of increased computer capacity in 1978. The development of instruments and the adoption of Program Effectiveness and Related Costs (PERC) methodology to determine the costs of program results is promising. Attaining the ability to act on systematically accumulated data was an achievement the administration had long awaited. Many faculty members now realize that in order to have access to information about their students and students' perceptions of programs, an ongoing self-assessment effort is needed. The College will continue to compile information about the differential effectiveness of programs for different student populations in relationship to program costs and program development. In rejecting the ad hoc approach to self-assessment and appointing a Coordinator for Academic Evaluation, Binghamton has proven its commitment to continuing its program of self-assessment.

STATE UNIVERSITY OF NEW YORK COLLEGE AT PLATTSBURGH

Student Profiles by Department to Measure Outcomes

The SUNY College at Plattsburgh was already developing a self-assessment program when it joined the S-ACU Project as a pilot. Encouraged by the College's full participation in the National Center for Higher Education Management Systems' (NCHEMS) experiments with instruments for management, William Dempsey, the President's Assistant for Analytical Studies and Long-Range Planning, proposed that the College try the outcomes instruments NCHEMS was developing. The President's concern that curricular evaluation be based on sound data led to formation of an Outcomes Committee consisting of faculty, administrators and students. They revised the NCHEMS draft and administered the first "Senior Evaluation Survey" in 1973. A Student Biographical Inventory and New Student Questionnaire were also designed to measure students' expectations of college.

The College's Institutional Research Office, which was responsible for collection and analysis of the data, received strong support from the President. However, the "Outcomes" study was designed to collect data for a longitudinal profile. It had no immediate effects in the routine operations of the College, and the majority of faculty and administration viewed it as a peripheral activity. In fact, many were unaware of it.

Recognizing the importance of faculty and administrative participation in self-assessment, those involved looked for methods of publicizing the research in order to increase its value to the campus community. They asked, "Who cares about the data?", "How can the data be organized and presented?" One of the major goals which the project accomplished, then, was to develop a format for displaying the data. Additional goals were the following:

Short-range Goals

1. Continue to collect data on students' experience of college.
2. Design an attrition questionnaire and an alumni survey.
3. Conduct case studies on a small sample of students.
4. Administer standardized tests to selected majors.
5. Evaluate the longitudinal freshman-senior study of expectations vs. achievements for the Class of 1978.
6. Analyze biographical and experiential data for the Class of 1979 for two years.

Long-range Goal: Establish a full program of college evaluation which draws on students' perceptions and actual achievements from freshmen through senior year, which uses alumni evaluations combined with occupational data and career-satisfaction ratings, and which supports the faculty's continuing evaluations of the programs it offers.

Plattsburgh

Project Design

The early phases of the Outcomes project emphasized data collection because failure to survey any particular class would severely limit the possibilities of future longitudinal studies. To generate campus-wide interest in this longitudinal study, staff prepared departmental profiles which presented the data elegantly in multiple copies (for use by all departmental members). Data on students gathered from numerous outcomes instruments were presented in charts, tables and graphs. Simple analysis-of-variance techniques were employed to highlight the areas of departmental uniqueness. A cross-sectional study of the differences between Freshmen Expectations and Senior Perceived Achievements was represented.

When a sample of the departmental data was completed in 1977, the Outcomes Committee reviewed the proposed format and President Joseph Burke distributed the results in a meeting of the College's departmental chairpersons, the three deans and the Academic Vice-President. The President invited participants to study the material and evaluate its relevancy and its potential effect on departmental planning. Suggestions regarding the format and content of the data presentation were also solicited.

The lack of response was disheartening: only one department made insightful comments and suggestions. Burke and the I-R staff, which was now directed by Diana Green, attributed the lack of interest to the intervening summer vacation and hoped for a more positive response at the beginning of the fall semester, when several chairpersons had promised to place "Outcomes" on the agenda for their first departmental meeting.

When the fall semester brought no further response, project members began to reassess their presentation. They decided that their approach had been too global and impersonal and that, perhaps, contact with a small group of five departments would allow for better interaction. The Departments of Art, Biology, Education, Nursing, and Psychology were selected because they represented a good cross-section of the College and had a large number of majors.

All of the departments agreed to administer nontraditional tests designed to measure "value added." Developed by researchers at McBer and Company, the tests are unique because the content and response method are consistent with the proactivity they sought to measure. For example, they contain no multiple-choice items.

As the final phase of the process, a meeting of departmental chairpersons and other administrators was scheduled in May 1978. The workshop, held off-campus and lasting all day, created an atmosphere more conducive to sharing research results and ideas. Demographic data on the student body was presented. As a sample of what kind of analysis could be applied to this data, some of the more interesting research findings to date were also presented. Small, informal group discussions were held (Exhibit 9, pp. 81-82). This time, the response was positive and encouraging: faculty and staff were interested in the data collected and enthusiastic about their use of future research.

Results

Given the scope of the Outcomes project, it is difficult to isolate which results are directly attributable to the S-ACU grant. Plattsburgh's staff feels, however, that many results would have been difficult to achieve without the intellectual and financial encouragement and support of the program. Also, several of the findings have become ideas and decisions for future directions of research.

Major results to date:

1. Three instruments were combined and redesigned to produce a new Freshmen Questionnaire.
2. A new Alumni Survey was developed.
3. A Sophomore Experience Survey was added to the battery of instruments and has already produced data that will help trace the occurrence of certain changes in students, i.e., how soon the college affects the student, and the nature of the effect.
4. Format of presentation of Outcomes information to faculty and administration, the Departmental Profile, was developed.
5. Personal and specific presentation of information to faculty and administration was adopted so the departments would not be overwhelmed or confused by the abundance of data.
6. Money from the S-ACU grant was used to launch a first attempt at standardized and experimental testing which widened Plattsburgh's Outcomes information pool to include "hard" data.
7. The problems encountered in the design and implementation of a longitudinal study, as well as the College's desire to integrate various measures of outcomes (e.g., survey results, standardized test results, admissions and attrition data) has convinced them of the need to develop a comprehensive outcomes data base. A suitable computerized system is being developed.
8. The publicity received by the Outcomes project as a result of the Departmental Profiles and the distribution of other research reports has been responsible for arousing interest in other college sectors. The Student Affairs staff, for example, reviewed and suggested revisions in the Freshmen Questionnaire and is analyzing data that concerns their role in student outcomes.

Budget

The resources assigned specifically to the S-ACU Project were taken from the staff already devoted to the continuing Outcomes project and are difficult to identify separately. One thing is clear: the \$8,000 SED grant could not cover the time spent on the project by the Assistant to the President for Analytical Studies and Long-Range Planning, an Associate for I-R, a research assistant and typist,

Plattsburgh

student assistants, the Outcomes Committee, I-R staff members, and persons from the Computer Center (which also supplied office space for the project assistant and the vast collection of research materials). However, the College has made a commitment to the continuation of the project, and estimates that to date \$35,500 has been spent.

The Future of Self-Assessment

Plattsburgh is part of McBer & Company's norm sample for their experimental, nonstandardized tests of outcomes. Testing was done on a cross-section of freshmen and on seniors from the selected departments. Results should add an interesting new dimension to their measurement of "value added." These tests do not correlate with standardized achievement or aptitude tests, but instead seek to measure cognitive development as it happens. This type of development is thought to have a more enduring and useful impact on students and is considered an important result of a liberal arts education.

One major goal of future self-assessment efforts will be to continue attempts to convince faculty and administrators of the usefulness of this type of information to them: how it can be used to re-examine teaching methods, curricula, and the goals of a college education.

Conclusion

Recognition of the importance of faculty and administrative support for their self-assessment has led Diana Green and others involved in Plattsburgh's Outcomes project to take a more personal approach to the distribution of data.

After many years of fiscal constraint and budget cuts, the attitude on campus is changing. The acceptance of data as an aid rather than a threat has resulted in a more cooperative mood. For years, faculty questioned the integrity of the reported figures. Disbelief was accompanied by dismissal of the data as worthless. With the increased reliability of collection methods and computer techniques came the acceptance of the statistics published by the I-R Office. Now the swing is toward asking questions about the relevance and significance of the data, so that its use will improve education at SUNY-Plattsburgh.

EXHIBIT 9

Report of the Outcomes Workshop

May 16, 1978, Valcour Educational Conference Center

1. Measures of Achievement

There was considerable interest in "hard" measures of achievement, using either ETS field tests or nontraditional tests of general educational competencies. Suggestions as to how to test students included: pretests and post-tests of students, a credit course, such as a Senior Comprehensive Tests course. The correlations between these measures and students' self-perceptions of achievement should be studied.

2. Methodology of the Outcomes Project

Suggestions related to the format of the questionnaires included:

- a. Cut down on general, irrelevant, and redundant questions.
- b. Make questions more specific.
- c. Make questions more objective.
- d. When using comparison to peer groups, specify what the "average" means.
- e. Add questions that are limited to majors.
- f. Have questions dealing with assessment of courses outside the major.
- g. Get more detail on writing and speaking ability, religion, and extracurricular activities.
- h. Add aesthetic sense or personal happiness assessment to the Alumni Survey.
- i. Include more validity checks.

Suggestions relating to analysis of the data included:

- a. Measure attributes and reasons why students did not come to Plattsburgh (in progress).
- b. Measure expectations as freshmen vs. expectations as seniors, rather than comparing expectations to achievements (in progress).
- c. Compare our students with students from other colleges in terms of their perceptions of achievement, using same questions.
- d. Analyze data by sex.
- e. Use multivariate techniques to reduce the number of questions asked and to reduce the data to a few dimensions.
- f. Ask the student in interviews, or open-ended questions, to specify what traits he or she feels are important.
- g. Look at reasons for choosing Plattsburgh, in terms of various regions of New York.

Plattsburgh

3. Other general areas discussed, or directions suggested:

- a. Feedback to students.
- b. Student expectations - perhaps some the the College's tasks consists of helping students to develop more realistic expectations with regard to themselves and the College.
- c. What the College is doing right.
- d. Student involvement in the testing process.
- e. Faculty and staff involvement in the testing process.
- f. Objectives.
- g. Undeclared majors - have a separate set of questions for these students. The College needs more information about them so as to counsel them better, particularly because they have the highest academic dismissal rate.
- h. Attrition.
- i. Involvement of the General Education Committee - agreement that the Outcomes Research Staff and the General Education Committee could benefit by a cooperative effort.
- j. High school average as a predictor - this information would help to establish cutoff points for admissions.
- k. Follow-up study of remediation services.
- l. Changing of majors—a study similar to the one comparing withdrawals and persisters could be done in an attempt to asolate characteristics of students who change majors.

BROOKLYN COLLEGE OF THE CITY UNIVERSITY OF NEW YORK

Liberal Arts for the World of Work

Recognizing the Need for Self-Assessment

"How relevant is the Brooklyn College undergraduate curriculum to students who go on to graduate school or seek a job?" This critical question was often discussed in departmental meetings, but the College had no data base from which to draw conclusions based on fact.

Mary D. Howard, Director of the Office of Institutional Research and Program Evaluation (OIR&PE), decided to institute an annual follow-up of each year's graduating class. In preparation for a Middle States Association review in 1976, her office had developed a questionnaire to examine the College's undergraduates' perceptions of their scholastic environment. A faculty survey was also conducted. One major finding from this study was that faculty saw their role as primarily providing intellectual enlightenment and decried any movement toward "vocationalism." Students, however, were primarily concerned with grades and jobs. Thus, when Brooklyn joined the S-ACU Project as a pilot college in October 1976, Howard concentrated on the relationship between students' majors and their subsequent job experiences to provide the College with information on curriculum and college services and their practical value after graduation.

Project Overview

The project had two objectives: 1) to provide information which would help departments revamp their curricula where necessary to equip students better for the world of work; 2) to restructure and reinforce college services which assist students in finding suitable employment. The ultimate goal was to prepare students for finding and keeping suitable employment. To achieve these objectives, OIR&PE planned to develop a data base on graduates which included information on such practical issues as: their further education; jobs they accepted, rejected or were refused, and why; how they heard about jobs; and job satisfaction. The research also covered several broad educational policy issues at CUNY: did students who came there under the open admissions policy realize the same payoffs in the job market whether or not they had prior educational deficiencies? Was open admissions, in fact, an effective strategy for realizing equal occupational opportunity? Once gathered and analyzed, the information would be presented to the relevant groups within the College community.

Project Organization

Brooklyn chose to examine the experiences in the New York metropolitan labor market of graduates with majors in accounting, biology, education, music and sociology. Because graduates are harder to trace the longer they have been away from college, the study was limited to graduates from June 1974 through June 1975. Of the 2299 graduates during this period, 1497 were selected for the sample. A variable sampling ratio was used to handle the problem of small numbers of graduates from one department (music) and substantial numbers from others (accounting, education and sociology).

Brooklyn

A six-part questionnaire was developed and given to the chairpersons of each department within the sample for their suggestions. The revised instrument was then pretested and revised once again. In October 1976 it was mailed to the selected graduates. A "personalized," computer-written letter describing the study's purpose was included along with a stamped and addressed return envelope. Each respondent was offered a summary of the final report of this research, and had only to return a stamped and addressed postcard that was included with the packet. The questionnaires were numbered and the respondents informed that they were identified. (Three respondents obliterated their identification numbers.)

Two weeks after the questionnaire was mailed, a reminder was sent to those who had not returned it. And two weeks later those who still had not responded received yet another questionnaire with a covering letter. Three months later project members attempted a telephone contact with those they had not yet heard from. This interview employed a shortened form of the mailed questionnaire.

Project Timetable

Like many of the other colleges in the S-ACU Project, Brooklyn found it helpful to have a set structure to keep it on schedule. The project staff were able to stay within most of the original plan:

February-August, 1976: review literature, design research, coordinate data collection; inform the relevant academic departments of plans and solicit feedback; develop and pretest instruments; prepare computerized mailing lists and computer letters; write proposals for outside funding.

October 1976-May 1977: mail questionnaires; prepare coding data on the computer; pretest the system; hire and train coders. Simultaneously prepare and pretest a telephone interview schedule and hire and train interviewers for doing the structured interviews. (It took two months until five suitable persons for this demanding job were hired.) Finally, mail reminders to those who hadn't responded.

May-July 1977: "clean" computerized data. Periodic interruptions in computer operations and a premature exhaustion of the University's 1977-78 budget for computer time in September hindered this phase. Not until late November was a computer run of corrected data available.

December 1977-September 1978: write reports for departmental chairpersons. Interview them and incorporate their summaries into the final report.

October 1978: report completed.

Response Rate

The Post Office was unable to deliver 12% of the questionnaires. Of those delivered, 748 were returned, and of these, 61 were rejected (i.e., incomplete information, mutilated identification number). Brooklyn thus received 687 usable questionnaires, a 54% response rate.

Of 340 telephone calls, contact was made with 59%. This method yielded 292 completed cases (14% refused to be interviewed). In the final analysis, Brooklyn obtained questionnaires from 979 of the original sample of 1497 graduates - a 65% return rate.

Characteristics of Respondents

Thirty-three percent of Brooklyn's respondents were male and 67% were female. Eighty-eight percent indicated they were Caucasian. At the time the graduates were contacted, 78% were either employed or looking for work (of these, 85% were working). Among the unemployed, 63% had not found a full-time job since graduation.

Personnel and Funding

Although Brooklyn's administration had made a commitment to the self-study, other projects in which the OIR&PE was involved consumed much of its time. Howard requested and received help from two colleagues interested in the self-assessment project: Paul Montagna, chairman of Brooklyn's Department of Sociology, and George Rothbart, formerly in Brooklyn's Department of Sociology and currently at the Center for Policy Research, Inc. in New York City.

Brooklyn received \$7500 from S-ACU for the project. This represented 11% of the \$65,805 which the study has cost to date, exclusive of overhead. Under present circumstances, the College does not appear able to provide the additional resources to OIR&PE which it needs to continue research of this sort.

Summary of Findings

Brooklyn learned a great deal about its graduates and the metropolitan labor market from its study. Among the more critical findings:

1. Fifty-six percent of its graduates began their work careers in jobs that are conventionally felt to be commensurate with a college degree.
2. Nonwhite students fared at least as well as whites in finding a commensurate job. Sixty-four percent of the minority graduates began their work careers in professional, technical and managerial jobs compared to 60% of the white graduates. Seventy-two percent of the male graduates began jobs in one of these areas, while only 54% of the female graduates did.
3. The overall unemployment rate was 15%, but it varied from 3% among accounting to 50% among music graduates. There was no difference in the rate by race or sex.
4. Sixteen percent of the graduates continued their education full-time after graduation from Brooklyn College.
5. Fifty-seven percent of the graduates indicated that a college degree was necessary for their first full-time job.

Brooklyn

6. One-quarter of the graduates reported that they had made their final career decision before entering college. One-quarter graduated without having made a final career decision. The balance made their decision during college.

7. Eighty-two percent of the graduates felt that the information available to them at the time they made their career decision was adequate.

8. When asked if additional information about different careers would have led to another career choice, 83% indicated that this was possible.

9. When asked how helpful each of the college services had been in their career development, an average 72% who had used them indicated that they were not useful. Minority graduates were more positive about the services: 49% said they were of some use.

10. Seventy-two percent of the graduates indicated that the courses in their majors were useful in post-graduate employment; 58% indicated that they were useful in nonwork activities.

Summary of Recommendations

⁰The College needs to inform students of the types of careers available to the different majors. Faculty within each department, if properly informed, could effectively disseminate this information.

⁰Undergraduates' jobs can be an important source of full-time employment after graduation. The College should consider taking a larger role in efforts to locate employment for undergraduates. Consideration should be given to reinstituting the Cooperative Education Program which was abandoned by the College two years ago but which interned undergraduates in work settings related to their majors.

⁰Graduates need to be encouraged to provide their departments with information on jobs available in their workplace.

⁰Career counseling, academic counseling, employment recruiters, academic assistance and vocational testing are seen as useless by almost three-quarters of the users. If the utility of these services cannot be demonstrated within a specified period of time, they should be cut back, reorganized, or eliminated entirely.

¹The New York State Legislative Commission on Expenditure Review has used a revised version of the Brooklyn questionnaire for use on selected SUNY campuses.

CLARKSON COLLEGE OF TECHNOLOGY

The Value of Graduates' Curricula for Their Careers

"Our prime concern is to educate people, and the measure of our success is the quality of Clarkson graduates. That quality depends largely upon the kind of instruction Clarkson offers," declared the new President, Robert Plane. This philosophy determined the focus of the College's pilot project: to study the long-range value of the curriculum to its graduates' careers within a time frame which would permit measurement of different grades of success.

Plane had met with members of the faculty to discuss what was most important for the curricula and the types of presentation to use in providing the most effective and efficient education possible. They discovered that they lacked data from valid sources to provide factual evidence to support or fault the arguments which were taking place in their discussions. Thus Clarkson proposed to study those educational elements which lead to a successful career as perceived by graduates of at least 10 years and longer, professional recruiters, graduating seniors, and faculty.

Project Structure

The project, under the direction of F. Gordon Lindsey, began with strong presidential support and a campus climate that was generally neutral to such self-studies. From the beginning the idea was to consider appropriate changes in the curriculum that might be indicated in the results of the study. There were to be three phases:

Phase 1. Identify those educational elements in the Clarkson experience which lead to a successful professional career.

Phase 2. Seek patterns of attributes which the successful alumni possessed as undergraduates. Also, measure success in individual disciplines by using standardized achievement tests.

Phase 3. Conduct a cost analysis for the operation of the College in 1976-77 as a base to determine changes in cost-effectiveness in later years.

Phase 1 was planned to end by July 1, 1977, and Phases 2 and 3 by June 1, 1978.

In Phase 1, because the College was looking for the long-range value of the curriculum to its graduates' careers, Clarkson chose the project's participants very pragmatically: a) Alumni, having experienced the College's education, could identify, with the help of their work experiences, those educational elements which led to whatever successes they had. To avoid the influence of vintage years, classes were chosen 5 years apart, starting with the class of 1952. b) Professional recruiters would identify those elements which seem to promise success in the different professional fields which they represent. c) Faculty are influenced in their efforts with students by their perception of what those elements are. d) Students' motivation to develop is largely determined by what their perceptions of those elements are.

Clarkson

Because of the importance of faculty participation, a four-member faculty committee was chosen, each with a special expertise in some phase of the design and execution of survey instruments, to meet with the President during the development of a questionnaire. Open faculty meetings were held to discuss the project and its implications. The President informally conferred with the College's Board of Trustees to get its suggestions and inform it of changes that might occur because of the project.

The Questionnaire

To encourage each of the possible 1921 respondents to react to the questionnaire, a letter signed by the President with an inside individual address and personal salutation was sent. The letter indicated the purpose of the survey and the importance of the individual's response. Letters and instructions on the questionnaire were worded differently for each group of participants. Except for company recruiters, computerized address labels were used. A stamped, self-addressed envelope was included to return the completed survey. A follow-up letter was sent to each possible respondent who had not returned the questionnaire four weeks beyond the due date indicated in the original letter. Responses far exceeded the usual return on mailed questionnaires: 75 percent each from seniors and alumni, 86 percent from recruiters, and 90 percent from faculty.

Revision of Goals

As Clarkson worked on Phase 1, the staff began to realize that the goals they had originally set were somewhat unrealistic within the time frame and support for the project. Consequently, they decided to postpone study on individual disciplines. As a result of data accumulated in Phase 1, the efforts for Phase 2 were redirected. Clarkson decided to analyze further the undergraduate backgrounds of those successful alumni responders to identify educational elements which lead to professional success. This decision was prompted by the unusually high return of alumni questionnaires, the ability of the questionnaire to identify successful alumni, and the desire of the College to identify those attributes possessed by the successful alumni as undergraduates. If this study proved successful, it would be possible to determine the students who would provide the most meaningful evaluation of college programs as undergraduates, thus allowing Clarkson to obtain valuable self-evaluation data at an early date.

Problems

As questionnaires were returned, Lindsey realized the project had failed to allow for data analysis according to modern research standards once the data were collected. He was able to secure the services of a faculty member, but felt this element should have been built into the process during the planning stage.

Lindsey and his committee also felt that statistical analyses might have been more extensive if Clarkson had more extensive base-line data on former students. This highlighted the need for establishing such data for future studies.

Budget

Clarkson's budget for the two-year period was kept close to the \$4,000 per year grant, although when the time of the President, the Project Director and his assistants at many levels is put into dollars and cents, the cost is at least doubled. To this would have to be added the time of the faculty who advised the Director and provided expert services and those who met to discuss the project in the special meetings with the President. (Exhibit 10, p. 90)

Summary

Several trends emerged from the analysis of data collected. Conclusions were used to revise the curriculum and develop new policies. Lindsey could not state that the project alone caused the substantive changes outlined below, but he has no doubt that the results reinforced them:

1. A new curricular emphasis will be placed on the acquisition of communication skills.
2. Realizing that initiative and self-confidence are necessary prerequisites for solving problems independently, all courses will incorporate independent study, and courses emphasizing "high initiative and independence" will be required for graduation.
3. A proposal to require a management course or an engineering course, whether or not it is a student's major, is being considered.
4. A new educational resources center designed to incorporate the most modern technical developments in the retrieval of information is planned.

In Phase 2 Clarkson attempted to discover patterns in undergraduate careers that would result in their ultimate success by selecting the "successful group" from data collected and examining their patterns of study from undergraduates' records. No significant correlations were found, but Clarkson discovered a need and an appreciation for longitudinal data on students throughout their years at college and after graduation.

When the College was ready to launch Phase 3, their computing center was in the process of converting to another system. This has seriously hampered completion of the project.

Lindsey feels that, overall, the self-assessment project provided the necessary data to encourage faculty members to take prompt action on critical concerns in the curricula. It also highlighted the importance of continuous self-assessment. But he did emphasize that, in his opinion: "It is the most fortunate of circumstances that (Clarkson's) 'results' could be reported as significant....I think it is plainly unrealistic to expect 'results' which can be calculated as causing a change in a college within the two-year self-assessment project....Still, certain changes in curriculum have begun."

EXHIBIT 10

Clarkson's Budget for Self-Assessment

In making budgets for a self-assessment program, the prime prerequisite is flexibility. As activities take place, unforeseen assistance is required. It is particularly difficult to predict the time which will be spent by the project director, and whatever time is predicted, it will probably be too little. The table below represents the cost of the project and the personnel involved.

- (1) The S-ACU represents the budgets as submitted
- (2) Modified S-ACU represents Clarkson's modification as experience dictated.
- (3) Total Value represents total value of services rendered by staff, travel, and other supplies and services regardless of budget. Differences between columns 3 and 4 are costs beyond the suggested budget.

Staff	Time	S-ACU Budget	Modified S-ACU	Actual Expenditures 5/31/77	Estimated Total Value
President	1wk				\$1,200
Vice-President	1wk				1,000
4 Faculty	3 wks each				6,000
Staff Assistance	50 hrs		\$500	\$ 491.50	500
Project Director	12 wks	\$3,500	3,500	3500.00	6,000
Secretarial	12 wks	200	800	783.86	1,920
Student Help	375 hrs	1,800	350	330.56	800
Travel		1,600	1,500	1499.27	1,300
Miscellaneous		<u>900</u>	<u>1,350</u>	<u>2187.36</u>	<u>1,750</u>
		\$8,000	\$8,000	\$8,792.05*	\$20,920

*overage paid by Clarkson

ON INSTITUTIONAL SELF-EVALUATION

Institutional evaluation may be divided into self-evaluation and evaluation by outsiders. Both are indispensable for the fullest degree of accuracy, balance, comprehension, and fairness.

Perhaps it is a misnomer to speak of "institutional" self-evaluation, since (no matter how seriously it is regarded by sociologists, lawyers, alumni, and other traditionalists) an institution remains an incorporeal idea which cannot evaluate itself. What the term usually means is an evaluation by one or more members of an institution with standing or ad hoc responsibility for conducting it.

Usually, that responsibility is formally assigned, but in special circumstances it may be assumed by a group of faculty or students. After all, any member of an institution is free to evaluate it, if he can get enough cooperation from other members. The degree of their cooperation, and the fullness and frankness of the knowledge it yields, is vital to success, and the degree to which colleagues identify with and accept the conclusions is the final test of whether it is, indeed, a "self" evaluation. Since most institutions are divided into groups and factions, the extent of agreement about the conclusions of an evaluation attests either to their innocuousness or to an unusual sense of fraternity in the institution.

Ideally, a self-evaluation should engage the active and frequent participation of all, or representative, members of the institution--students, faculty, administrators, maintenance staff; and even broader circles such as parents, alumni, patrons, and employers. On rare occasions, such participation may be approximated, as it is supposed to be in the self-evaluation preceding

accreditation visits. In his criteria for recognizing accrediting agencies, the U.S. Commissioner of Education states that this "self-analysis...should involve a representative portion of the institution's administrative staff, teaching faculty, students, governing body, and other appropriate constituencies."¹

Typically, however, evaluation is a specialized activity conducted by the director of institutional research. In delicate situations, when the future of certain programs or faculty may be at stake, it may be directed by a senior professor or administrator, perhaps assisted by a committee representing important constituencies whose support is required for the report to carry conviction.

The central problem of evaluation is the need to balance candor with discretion, honesty with charity. It is at once a moral, political, and practical or methodological problem.

As a practical matter, one cannot compel a man to testify against himself; yet if he does not acknowledge weaknesses, deficiencies, and failures, the inquiry will be unconvincingly sweet. All will be for the best in the best of all possible institutions; or the weaknesses that are acknowledged will be those for which others are responsible, and which can be remedied by money and support. Yet if a professor acknowledges failings that can damage his reputation or the interests of his department, the evaluator is morally bound to protest his confidence. In an institution where the interests and foibles of prominent members are well known, it may be difficult to strike the right balance between disclosing significant information and maintaining necessary confidences.

If an evaluation is to be an effective instrument of institutional change, the evaluator must be sensitive to the political implications of the information it contains. Every damaging statement—every fact that serves to impugn or criticize the quality, effectiveness, or economy of an educational program or administrative service—is a political attack upon identifiable individuals and interests, unless (sometimes, although) accompanied by counterbalancing statements, some form of exculpation or a clear line of practicable corrective action. To point out, with the most neutral numbers, that Department A has more high-salaried professors and fewer students than Department B is to invite the opposition of A and the support of B—unless one notes that Department A is famous, while B is a dumping ground for derelicts or a testing ground for novices.

If a self-evaluation is viewed as a political instrument, the prudent evaluator will assess his own political situation—his avowed and potential allies and enemies—and take that into account in the course of his work.

Is the evaluation being used as a trial balloon? If he has few allies—and fellow evaluators on other campuses, the State Education Department, or a professional association can lend more moral than political support—he is expendable and should step carefully or secure another job before laying down the gauntlet.

Is the evaluation designed to produce ammunition for economies, a common motive these days? And are the probable victims already identified or is the choice to depend, in part, on the findings? None of these circumstances is conducive to full and unreserved faculty cooperation. The honesty of responses, or at least the withholding of certain information, may be suspected. It is wise not to expect cooperation from those likely to be condemned.

(Except for plea bargaining, what prosecutor expects cooperation from the defendant?) One should rely instead upon available records and the testimony of other parties.

Is the evaluation a precursor to major program changes involving sacrifices for many but hope for all? That is a good basis for a good evaluation, if the hope is stressed and assurance can be given at the outset that no heads will fall.

If the evaluator is so naive as to believe that an evaluation can be purely "objective," contributing to knowledge, taking no sides, and offending none, he will learn otherwise. If he is skilled at research but awkward at institutional politics, he should be guided by persons who are adept at it.

The more a self-evaluation penetrates beneath the surface to underlying realities, the more confidences it obtains and utilizes (albeit protecting their source as much as possible), the more the evaluator gains the trust of his colleagues and all deal faithfully and openly with each other, the more need is there to keep the report confidential and prevent its possible misuse by outsiders with no personal or political commitment to the institution. The more naked the truths in the report, the more closely must they be held until time dulls their sharpness, sensitivities ease, and circumstances change.

The self-evaluations preceding accreditation visits are regarded as confidential and may be released (except under extraordinary conditions) only by the institution. One of the best evaluations of a leading university, a study of Princeton which its present president William Bowen conducted as an associate professor, led to a document with a most peculiar status, a printed book and yet not a "publication," issued by the Princeton University Press.²

Rousseau's great Confessions were not published in his lifetime. Tolstoy kept one diary which was read by his wife and another, "a real diary for myself alone"; his final flight from home occurred after he discovered his wife rummaging through his personal papers. Yet it was not long before Rousseau's and Tolstoy's secret thoughts and feelings were disclosed to all. What in fact, was revealed? Not "the truth" about their character—as if character were a puzzle that could be solved—but intimate episodes and feelings they wanted to keep to themselves and yet to preserve and, in due course, confess to all humanity; other episodes and feelings they took to their graves. Rousseau's brilliant self-justification betrays his narcissism, paranoia, and almost insane hypersensitivity. Tolstoy's diaries and letters, more ordinary than his art, provide ample evidence for both those biographers who see him as a noble character and for those who find him insufferable. The self-revelations are fascinating, but the work of Rousseau and Tolstoy stands on its own, with or without the exegeses of character analysis.

Likewise, an institutional analysis must stand on its own as a rich portrait or poor snapshot of a campus scene. Insofar as evaluation, like photography, is an art and profession as well as a science, it can be fostered and strengthened by such collegial discussions and activities as the New York Regents have stimulated.

The self-evaluation which is an artful and professional public document should be convincing as well as correct, politic as well as perceptive, and above all charitable. It should regard numbers not as the end of analysis, but as clues and reflections of the complex and changing scene it seeks to capture and illuminate. Its touch should be gentle and its purpose wholesome: to unify, not factionalize, the institution: to point out dangers and failings while indicating how they can be met and overcome. Thus the successful self-evaluation is an intellectual analysis and a declaration of institutional purpose, which contains an implicit or explicit program of action. It is not a scientific dissection, no matter how expert, still less an autopsy, but the compassionate examinations of a living community and a commitment to its future.

Harold Orlans
National Academy of
Public Administration

¹ See Criteria and Procedures for Listing by the U.S. Commissioner of Education and Current List, U.S. Office of Education, January 1975, p. 8.

² William G. Bowen, The Federal Government and Princeton University, Princeton University, January 1962. "This report is intended solely for the private use of Princeton University and for the private use of other users selected by the University at its sole discretion. No publication is to be implied from such use and Princeton University does not waive or release its common law copyright by making this report available for such use. No portions of this report are to be published or quoted without permission of the President of Princeton University."

SELF-ASSESSMENT: BALANCING PERSPECTIVES FOR IMPROVED INSTITUTIONAL VIABILITY

The practice of institutional assessment is the organizational equivalent of the personal mandate to "Know Thyself." On the surface it is hard to refute the usefulness, even the necessity, for each of us engaging in and supporting attempts to assess how our institution of postsecondary education is functioning by examining what the institution, its programs, purposes, and personnel should accomplish; how efficiently or effectively they are accomplishing their intended purposes (or their unintended consequences); how they might improve. The ever increasing environmental pressures and internal complexity of our colleges and universities both underscore the need to engage in self-assessment activities and the increasing difficulty in conducting self-assessment projects that can effect the vitality and viability of an institution or substantial portions of it.

Yet the past decade and a half have witnessed a parade of governance strategies and new institutional practices or techniques designed to improve the management and effectiveness of institutions. The commands include participatory democracy, political negotiation and bargaining, improved information and rational management practices, policy analysis, resource simulation models and forecasting techniques. Most recently, planning, staff development and organization development have been in vogue. Reflection on this succession suggests that too often each has been proclaimed the password for improving colleges and universities, invariably embraced enthusiastically and without question, and then found lacking and even disillusioning.

These experiences, however, provide a useful perspective as we consider self-assessment. Each of these new strategies or techniques, when examin-

ed carefully and modified to fit a particular institution's context and situation, has usually made a positive contribution to the complex mosaic of management and governance practices for our increasingly complex institutions. When our colleges and universities incorporate self-assessment, the experience with these other practices and techniques and the experience of the institutions in this project suggest some of the factors that must be considered, perspectives or alternative approaches that need to be balanced, if the self-assessment activity is to be well designed and to make its most useful contribution.

I. The Institutional Role of Self Assessment

How self-assessment practices or process will fit and what role they will play in the larger institutional setting depend on balancing a number of perspectives.

A. Its Institutional Purpose:

1. Is the intent of a self-assessment project to serve internal institutional concerns or external purposes or both?
2. Is the intended purpose to be supportive to the group assessed (formative) or to make some critical final judgment (summative)?

These two broad issues need examination for any ongoing self-assessment process and clearly affect or define the sensitivity of self-assessment—the range of possible participants, the different potential assessment criteria, and a variety of other design features.

B. Self-Assessment and Institutional Governance:

1. Is self-assessment responsive to administrative or faculty governance groups or hierarchies if they differ? Which is dominant in making judgments on the assessment results?
2. At what level in the governance structure does responsibility for ongoing self-assessment activity reside?
3. How is it intended that self-assessment activities relate to governance processes for institutional planning and resource allocation? Or is it an ad hoc activity related to a special problem?
4. Who initiates self-assessment projects? Who reviews the results and roles or acts on recommendations? Does this vary by project?

Unless there is a rationale for a totally independent self-assessment activity, prior consideration of these issues is important to assure that it leads to effective action (not just another study) and that results do not get imbedded in jurisdictional disputes.

C. The Structure for Self-Assessment

1. If self-assessment is an ongoing commitment of the institution, what office (or offices) is responsible for which self-assessment activities?
2. Where in the institution do these offices report? Is that consistent with the decision-making responsibilities associated with the types of assessments being done?

Clearly an ongoing self-assessment process can gain (or lose) credibility and legitimacy depending on the resolution of these questions.

II. The Nature of the Self-Assessment Effort

Even when the institutional role is clear, both ongoing and ad hoc self-assessment activities require the balancing of conflicting perspectives and issues within the self-assessment effort itself. The following are particularly important issues for institutional researchers or others with continuing responsibilities to direct self-assessment.

A. Direction and Priorities for Self-Assessment Effort

1. Who initiates individual self-assessment projects? Who reviews the results and makes or acts on recommendations? Does this vary by self-assessment project?
2. What criteria determine priorities for self-assessment projects? (e.g., importance to the institution, level of request for project, timing of project as it relates to impending or likely action, assessment of new options vs. ongoing programs, educational vs. administrative projects, etc.)?
3. How is self-assessment conceived: as a repetitive, ongoing process (e.g., examination of student characteristics), a regular but intermittent cycle of studies (e.g., program review), or a set of ad hoc or timely special studies (e.g., an alumni impact study during a major curriculum revision)? Or is it a complex matrix of all of these?
4. Is the office (project) responsible for self-assessment allocated

sufficient resources (money, computer and information systems, etc.) and staff with expertise to carry out those responsibilities?

The responsibility for carrying out self-assessment projects can be compromised if concerns such as these are not carefully examined.

B. Design of Self-Assessment Projects

1. Does the design of the project take into consideration the intended uses of the project, the potential and legitimate participants, time frame, resources available, and related research already completed?
2. Does the self-assessment project director give attention to all stages of the project: initiation, design, research and analysis, synthesis and reporting, evaluation and recommendations? Or does he or she play a differential role at different stages? What about other participants?
3. Is the self-assessment strategy adopted based on rational assumptions (clear objectives and criteria) or political assumptions (multiple constituents, criteria, etc.)? Is it exploratory, descriptive or evaluative? Is this appropriate to the project?
4. Does the director of the self-assessment project assume a role of coordinator, neutral design expert, spokesperson for the project, advocate? On what projects and under what conditions might this vary?

While many other issues can be raised about the design of a self-assessment project, these appear to be some critical ones which need consideration, given the often sensitive nature of self-assessment projects and the self-interested perspectives of most participants in a process which often includes the research project director.

An Overview

This partial list of issues, on which varied perspectives (or differing alternative answers) may be balanced differently in light of the special institutional circumstances surrounding the self-assessment effort, includes all of those that were raised frequently by the various projects reported in this Handbook. They suggest that self-assessment in and of itself is not a panacea. However, as these projects reported self-assessment, conducted with a sensitivity to balancing the various perspectives and alternatives, it can become another useful process for improving the arrangement of our institutions. The effectiveness of self-assessment efforts themselves need to be judged in a longer term by: 1) how well those responsible communicate and educate others about both their assessment process and its results; 2) the flexibility and creativity with which new and difficult self-assessment projects are approached; 3) the credibility and legitimacy which the self-assessment process gains and the extent to which it motivates others in the institution to participate; and 4) the institutional changes which reflect the impact of well devised self-assessment projects.

Marvin W. Peterson, Director
Center for the Study of Higher Ed.
The University of Michigan

PROGRAM EFFECTIVENESS BEYOND COST-BENEFIT ANALYSIS

I

Much concern is evident among the general public, state officials, parents of students, and students themselves that something is wrong with higher education. They ask why college costs so much and what benefits they are deriving from it. Some even suggest that colleges seem to know the cost of everything and the value of nothing, for few institutions can convincingly demonstrate that their educational programs have important effects on students. In fact, most institutions cannot provide accurate and meaningful information that goes beyond such familiar measures as grade point averages, Graduate Record Examination scores, and student/faculty ratio. Higher education's public demands better. One major challenge is to build evaluation frameworks that first of all spell out various effectiveness measures and then relate cost data to them.

All colleges and universities have a particularly great need to demonstrate results. All face fiscal difficulty and sometimes react to crisis with a lowest common denominator approach. Too often their focus is on costs first, and rarely do they integrate cost studies with effectiveness studies. Reliance on traditional cost-benefit techniques further reinforces this pattern because costs are the only "real" outcomes examined.

An entirely new perspective and orientation is needed in higher education where both program outcomes and program costs are examined and related. We must learn to link educational assessments with meaningful cost data so we can plan in a way that will improve our educational programs, attract rather than lose students, and

reverse the waning of public support. And educational assessment must focus on students—what does or does not happen to them as a result of their educational program and the broader influences of educational environments. Students must be studied in terms of both learning and personal development outcomes, with particular attention to those student outcomes deemed important by the particular institution.

II

Now emerging among administrators and researchers in education is an attempt to gather information and data on both outcomes and costs. Decisions are increasingly based on knowledge about program effects (student change and development) and the program costs necessary to achieve those effects. Concern has shifted among administrators in another way, too: much more attention is given to program(s) rather than to institutions. This trend is natural, given current economic and fiscal pressures to consolidate the offerings of an institution by modifying or retrenching some of the parts (or programs) of that institution.

A "program" is an identifiable entity that has (or could have) goals and objectives. It may not have administrators or a budget but there must be a way of assigning costs to it. For example, a philosophy department is a program. At some nontraditional institutions, the broad areas of study within which students generally study are programs.

"Outcomes" are the educational results of the interactions of students, faculty, and programs. Individual student outcomes may be organized into

such categories as: substantive knowledge, communication skills, cognitive, developmental, personal, occupational, public service, and unanticipated. Other outcomes schemes exist in the literature.

A complete study of effectiveness must include educational evaluations linked to all related costs. Development of the cost component follows the development of outcome data.

The key judgment — program effectiveness — is based on linked outcome and cost data. Effectiveness is a judgment, according to pre-set standards developed in the context of institutional goals, of how well (how successfully) a program achieves its goals.

III

Today, program effectiveness studies are needed to obtain evidence about performance and support to help make various critical, internal resource allocation decisions. Topics for study include: decisions about program implementation; decisions about program modification; evidence for program support; evidence for program opposition; and more general and basic studies of psychological, social, political, and economic factors associated with institutional functioning.

A few specific examples illustrate the practical utility of program effectiveness studies that relate outcome and cost data.

1. Justification of Institutional Budget Requests:

Colleges present annual or biennial budget requests to system or institutional boards for review and approval. Program effectiveness studies begin to answer questions like: What is the persistence and attrition rate of students? What reasons do stu-

dents give for leaving, and what percentage of the "leavers" plan to return? What have been the experiences of graduates in obtaining admission to graduate school, advancing in their occupation, and seeking new employment opportunities? What is the source of faculty; what are their background and professional experiences; and how well do they perform? What kinds of learning resources (tutors; independent study; city, state, and regional libraries; internships; community welfare agencies; courts, museums, and other colleges) do students include in their learning, and how valuable have these resources been to student learning?

2. Output Data for College Self-Study:

Various persons and agencies want information about the "worth" and "comparability" of education and learning experiences at colleges. Through program effectiveness studies, colleges can speak to many of these questions. As part of the self-study for accreditation, a variety of data about the educational and personal outcomes of students is collected, analyzed, and reported. In addition to information about graduate school attendance, occupational mobility, and other personal results and consequences, such studies produce comparative data about the grades earned by students, ratings of student learning and personal growth by students and their faculty scores on standardized examinations, and, through intensive case studies, comprehensive information about students' interests, motivations, learning activities, and accomplishments.

3. Data for College Governance:

Program effectiveness studies can supply a variety of research data and information to different committees. For example, the budget committee

reviews plans for the study of institutional costs by unit and program. The curriculum committee receives attrition data to formulate college policies on probation and dismissal. Other governance committees become involved as data appropriate to their needs becomes available.

In sum, effectiveness studies (as discussed above) signal an important step forward in college evaluation work. Cost-benefit analysis deals al-

most exclusively with costs and the economic "payoffs" of college. Program effectiveness makes student learning and development the centerpiece of evaluation and demonstrates the total costs by program. Full studies of effectiveness must contain outcome and cost data linked by program to assure accountability in decision-making.

Ernest G. Palola
Empire State College

THE SCOPE OF SELF-ASSESSMENT IN INSTITUTIONAL PLANNING

A CASE STUDY

We generally agree to engage in self-assessment in order to improve institutional functioning. What is important, then, is to know how the results of self-assessment can be made most useful to faculty and administrators. The thesis here developed is that self-assessment should be conceived and implemented as an integral part of management planning.

Decision-makers in colleges and universities face rapid environmental changes involving complex problems: competition for students, energy, inflation, government regulations, and on and on. Systematic planning is therefore required to assure optimum use of scarce resources and to meet demands for accountability.

The management planning model as developed over the last seven years at Furman University includes the following steps or activities:

1. Identification and evaluation of problems and opportunities.
2. Clarification and evaluation of purpose, goals and objectives.
3. Determination of priorities.
4. Analysis and evaluation of capabilities.
5. Development and execution of programs of action.
6. Identification and monitoring of future developments that will have a major impact on performance or results.
7. Allocation of essential resources.

8. Evaluation.

Self-assessment is involved in steps one, four, six, and eight.

A critical factor in self-assessment is clarifying and keeping in focus adequate decision-making information at the times and places where it is needed. It is also important continually to identify and evaluate the institution's capabilities and opportunities as well as strengths and weaknesses.

Two types of information required for planning may be identified: (1) administrative information (policies, procedures) which tell the administrators what they are permitted or expected to do; and (2) operational data that enable them to formulate plans within a common frame of reference.

At Furman University a planning book system brings together for each staff member the administrative information and operational data required by the management planning process. This is the way in which purpose, goals, objectives, basic data and other elements of systematic planning are integrated into the institution's ongoing administrative processes. The system is kept in a looseleaf notebook so that each page can be updated individually. This approach provides for the controlled distribution and revision of data common to the institution as a whole. It also allows each administrator to organize in his planning book the minimum amount of additional information that is needed for planning in his own area of responsibility.

The planning book is organized in the following sections:

1. Purpose/Nature of the Institution

Included here are the official statement of purpose or mission; data on faculty by rank, age, tenure status and higher degree; faculty compensation; student applications for admissions; SAT scores for applicants admitted and enrolled with five-year trends; enrollment by class, sex, campus or commuting, with five-year trends by term; geographic residence of students and most frequently attended high schools; number of students and graduating seniors by declared major; grade distribution by department by term; number on Dean's list by class by term; number of degrees awarded for five years.

2. Environment and Competition

Statements and data concerning the current environment as it may affect the functioning of the institution, including subsections on social/political, business/economic, and educational activities; additional sub-sections on current environment as unique to Furman; identification of independent and public institutions which are the institution's major competitors classified by local commuting area, South Carolina, the Southern region, and the nation; information on the competitor institutions including enrollment, academic calendar, tuition and fees, average SAT scores of entering freshmen, number of library volumes per student, library expenditures per student, value of endowment, faculty compensation by rank.

3. Capabilities/Opportunities

SWOT's analysis (strengths, weaknesses, opportunities, threats) for the institution and for each administrative unit individually.

4. Assumption/Potentials

Statements and data concerning the future environment-social/political, business/economic, and educational; sub-sections on the future environment unique to Furman.

5. Goals/Objectives

Goals are general in nature and provide focus and direction for several years. Objectives are careful estimates of very desirable future results that an administrator believes can be achieved through his efforts and for which programs will be planned and resources allocated. Objectives are specific, measurable, and to be attained by a given target date. Each administrator sets his goals and objectives annually with interim revisions as required. In quarterly sessions with his superior, he reviews progress toward his goals and objectives.

6. Policies/Procedures

A policy is a broad statement of general intent that tells what is permitted or expected. A procedure is more specific instruction that tells how to do something. Because of the large volume, all policies and procedures are carried in a separate looseleaf notebook for ease in revision and adding new entries. Pertinent items from the Faculty Handbook are included. Policies and procedures are organized in ten sections covering the major administrative parts of the institution. General policy statements are included on program and project planning, governance, organizational relationships, institutional identity, institutional growth, and policies.

7. Strategies/Programs

The standard program/project data

sheet used includes nature and scope, objectives, responsibility, schedule, and resources (money, material, personnel, space).

8. Priorities/Schedules

Priority rating and time schedule for each proposed program or project.

9. Organization/Delegation

A statement of the organizational pattern of the institution; current organization chart; job description of positions.

10. Budgets/Resources

Resource allocation profile for major parts of the institution over five years; also by academic departments; special allocations for proposed programs or projects.

11. Evaluation

Formative and summative evaluation of the results of planning and decision-making; evaluation of the institutional planning process itself.

In addition to the self-assessment involved in several of the steps in the planning process and included in several sections of the planning book, a continuing program of institutional research is conducted to address special problems. All of this research is action oriented and designed to provide administrators and faculty with alternatives for decision making. For example, among the topics included have been reports on the success of academic prediction at Furman, student attrition rates, summer session enrollment patterns, classroom utilization, the effect of the current academic probation rule on undergraduate students, the post-graduation plans of graduates, and characteristics of freshmen.

Gordon W. Blackwell
President Emeritus
Furman University

Note: For more detailed accounts of the management planning program at Furman University, see: Edward J. Green and Philip C. Winstead, "Systematic Institutional Planning," *Educational Technology*, July, 1975; Philip C. Winstead, "Systematic Institutional Planning: Furman's Approach," 11th Annual Conference of the Society for College and University Planning, Washington, D.C., July 24, 1976; Philip C. Winstead, "Using Management by Objectives As a Planning Tool," Conference on Academic Planning, Higher Education Research Institute, Newport Beach, California, June 13-15, 1978.

SELF-ASSESSMENT FOR GROWTH

In examining the process of institutional self-assessment in the service of maintaining vitality, sustaining growth and resisting decline, a few basic principles may be invoked. Inevitably, self-assessment engages interested persons and groups within the institution in setting hypotheses and drawing conclusions about other persons and groups, and the programs in which they are invested. The assessors and the assessed are rarely coextensive.

I would first stress the important semantic considerations in the way we think and talk about assessment. The more usual term, evaluation, carries a heavy freight of connotation, and has ceased to be as serviceable as once it was. It has come to imply judgmental enquiry more analogous to courtroom proceedings than to courtship. Is something or someone being weighed in the balance with the threat of being found wanting? May not the most critical factor prove to be the value system of the evaluator? Is it at least possible that an inappropriate set of measures are being rigorously, disinterestedly, and dispassionately applied? Evaluation may thus be wholly appropriate to the testing of a therapeutic drug, or to the determination of the comparative qualifications of candidates competing for a prized appointment, but less so to considering claims for continuing appointment, or for the abandonment, continuation or modification of an established curriculum.

The situation is both obviously and subtly different when what is being examined is a program in being, a social and organizational structure, or the performance in role of a president, dean or professor. The difference is akin to those among the processes of fact-finding, negotiation, political ac-

tion and decision-making in collective bargaining. Thoughtful assessment of a complex learning process in an effort to comprehend the relations between input and outcome, the forces at work, the relative effectiveness of certain strategies, etc., is not accessible through the application of a two-valued template (good/bad, go/no-go) or even an A through F grading scale.

Assessment is not wholly innocent of usefulness in the decision-making process, any more than evaluation need be brutally simplistic. Nevertheless, we do well to keep in mind that in program assessment we are dealing with ideas, goals and purposes, patterns and procedures in which there is likely to be significant investment—material, emotional and ideologic. As Yeats warns and entreats, "Tread softly, for you tread on my dreams." To speak in more mundane terms, successful assessment must make the most of analysis and interpretation for comprehensive understanding within an appropriate framework of perspectives, and it must minimize the intrusion of judgmental attitudes. Decisions follow justifiably upon completed assessment, but imperil objectivity when they drive the process.

But what does or should drive the process? Whence the motivation for assessment? One familiar, and still persuasive answer is a conviction implicit in the academic enterprise: "The unexamined life is not worth living." Plato's dictum can easily be extended into, "The unexamined curriculum is not worth offering, unexamined principles are not worth professing, etc." If colleges and universities are fulfilling their nature, they should continuously, or at least recurrently, carefully re-examine their goals and purposes, their resources and strategies, and the re-

sults of their efforts for consistency, congruence, and the benefits of these efforts as compared with their costs. Their integrity as institutions requires such assessment, and institutions as well as persons can heed the Socratic injunction, "Know Thyself."

Further, and related to the changed and changing circumstances in which educational institutions now find themselves, there is point in the whimsical inversion of the Platonic observation: "The unlive life is not worth examining." While the demands for relevance, currency, applicability and human significance in programs offered by institutions of higher education may have been overdone in the late sixties and early seventies, and may even have led to some distortions and ephemera in programs, such demands can be shrugged aside in our superficially quieter times only at our peril. While they are not so noisily rioting, students are still voting with their feet. They are quietly but no less effectively opposing or effectively boycotting programs and practices which fail to meet their tests of relevance, or to demonstrate why such tests need revision.

The witticism may further remind us that fully functioning educational institutions express their vitality through experimental offerings, essays in alternative learning strategies, encouragement of multiple organizing principles, and other facilitations of flexibility, adaptiveness, growth and change. In most instances, despite the notorious conservatism of academic faculties in matters of curriculum and teaching procedures, it is preferable to risk the gamble of permitting essays in innovation which can be examined in process and assessed upon completion rather than interminably debated and effectively foreclosed on the basis of an inevitably imperfect prospectus. The unoffered course may be evaluated, but it can hardly be assessed.

Compelling political and economic reasons for effective self-assessment complement our philosophical preoccupations. In the current climate of opinion and concern, most institutions in this century, not excluding educational institutions, are newly being held to a responsibility and accountability of unaccustomed rigor. The voluntary accrediting agencies argue with increasing insistence that unless the academic establishment can not only effectively police itself, assuring acceptable social utility, but also effectively persuade governmental agencies, funding sources and the "consumer" public that appropriate standards are in fact being maintained and protected, institutional autonomy will be progressively lost.

Most institutions are already smarting under a galling burden of regulatory restrictions and requirements which warns them that any perceived failure to apply an adequate program of assessment within the framework of the institution and the profession invites and presages heavier external controls.

A further word should be said on the sociology and politics of internal program assessment. Colleges and universities, like other institutions, develop highly complex and often powerful apparatus, formal and informal, for decision making and action. Those who wish program assessment to perform its function with validity, reliability, and an acceptable return on the investment of time and energy must make a preliminary or parallel assessment of the institutional power structure. Absolute disinterestedness and unsullied objectivity is unsurprisingly rare in activities so labor-intensive and so emotionally freighted as teaching and learning at the college level.

Many of the investments, hopes, ambitions, anxieties, and commitments cathected to programs in being or in

prospect are not only legitimate and honorable, but essential. The most elegant curricular design cannot succeed in the absence of faith, logistic support and at least friendly tolerance by those on whom it depends or impinges; with commitment and cooperation almost any program or procedure can be made to work despite serious limitations in conception or design. However much the assessor wishes to limit himself to "uncontaminated data" he cannot afford to ignore the powerful effect of attitudes and perceptions upon the way in which such data can be assembled and will be interpreted and acted upon. So it is that ungrudging attention to the interest (both intellectual and political) in the assessment process by faculty, students, administrative staff and other power centers is a precondition for successful and rewarding assessment of academic programs.

These observations are offered neither as a counsel of despair nor as a cynical concession of the difficulty of applying the techniques of the chemistry laboratory or the accounting center to the rather different reactions and interactions occurring in classroom, library, seminar room, faculty office, dormitory lounge, community forum, senate floor, or other locale of learning and provision for learning. Rather, they are offered in ratification and celebration of the ingenuity, sophistication and efficacy of the projects in self-assessment which have been carried forward in an atmosphere of warm collegiality under the auspices of this Project.

Bruce Dearing
University Professor of Humanities
Upstate Medical Center
SUNY

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PARTICIPANTS IN THE REGENTS' PROJECT ON
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National Advisory Council

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Ronald C. Brach
Director of Research and Planning
SUNY Ag. and Tech. College at Delhi

David Christman
Dean of New College
Hofstra University

C.J. Denne, Jr.
Provost
The College of New Rochelle

Anthony Giordano
Dean of Graduate Studies
Polytechnic Institute of New York

Diana Green
Director of Institutional Research
SUNY College at Plattsburgh

Mary Howard
Professor of Sociology
Brooklyn College of CUNY

Norbert H. Leeseberg
Assistant to the President
Wagner College

F. Gordon Lindsey
Director of Institutional Planning
Clarkson College of Technology

James L. McNally
Director of Institutional Research
SUNY College at Geneseo

Rosmarie T. Morewedge
Chairperson, Department of German
SUNY at Binghamton

Richard Pearson
Dean of Planning
John Jay College of CUNY

Gunars Reimanis
Director of Educational and Institutional Research
Corning Community College

Task Force (cont'd)

Ralph Spencer
Provost
SUNY College at Oswego

Vincent Toscano
Assistant Dean
Marist College

Resource Persons for the Project

Richard Alfred
Executive Assistant to the President
New York City Community College

George Arnstein
Educational Consultant
Veterans Administration

Robert Birney
Director of Planning
Colonial Williamsburg, Inc.

Charles Bunting
Deputy Director
Fund for the Improvement of Post-
secondary Education

Willard Enteman
President
Bowdoin College

Aubrey Forrest, Director
College Outcome Measures Project
American College Testing Program

Russell Garth
Program Officer
Fund for the Improvement of Post-
secondary Education

George Handelman
Dean, School of Science
Rensselaer Polytechnic Institute

Rodney Hartnett
Senior Research Psychologist
Educational Testing Service

Harold Hodgkinson, Executive Director
Professional Institute
American Management Associations

Virginia Kemp
Assistant Vice-President for Academic
Affairs
SUNY College at Geneseo

David J. King
Dean of the College of Liberal Arts
Oregon State University

Robert Kirkwood
Executive Director
Middle States Association

Timothy Lehmann
Director of Program Evaluation
Empire State College of SUNY

Jack Lindquist, Director
Institute for Academic Improvement
Memphis State University

David Martin
Vice-President of Academic Affairs
SUNY at Albany

Richard I. Miller
Vice-President
SUNY at Brockport

Barry Morstain, Assoc. Professor
College of Urban Affairs
& Public Policy
University of Delaware

Sherry Penney
Associate Provost
Yale University

Paul Pottinger
Director of Assessment Systems
McBer and Company, Boston

Resource Persons for the Project (cont'd)

Adrian Tinsley, Dean
William James College
Grand Valley State Colleges

Eugene Winter, Director
Two-year College Development Ctr.
SUNY at Albany

Observers for the Sectors of Higher Education in New York State

Raymond Murphy
University Dean for Academic
Evaluations
City University of New York

Charles B. Neff
Assistant Chancellor for
Special Projects
State University of New York

Howard Maxwell
Vice-President for Planning and Research
Commission on Independent Colleges and Universities

New York State Education Department Advisory Committee

Edward F. Carr, Director
Division of Academic Program
Review

Dorothy G. Harrison
Deputy Commissioner for
Higher and Professional Education

Vincent Gazzetta, Director
Division of Teacher Education
and Certification

Mike Van Ryn, Chief
Bureau of Grants Administration

Liaison Staff from the Bureau of College Evaluation

Robert F. McHugh
Charles W. Meinert
Warren W. Reich
Livingston I. Smith

Project Staff

Project Director
Donald Tritschler, Chief
Bureau of College Evaluation

Project Bibliographer
Pam M. Baxter

Project Assistants
Leslie Ann Bechtel
Florence K. Howe
Barbara Dean Meinert
Rachel S. Smith

Project Secretaries
Nancy Fisher
Carlotta Goettel
Patricia A. Weingartner